# Vocational Rehabilitation Services Manual D-300: Records Management

Revised December 3, 2018

## D-302: Case Notes

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### D-302-3: What Not to Include in Case Notes

VR staff must be aware that case notes are legal documents and are subject to internal and external audit and review, subpoena for legal action or appeals, and review by the customer or others with a valid release of information. Content that is included in case notes must be based on facts that are relevant to the VR case. Do not include unnecessary comments which are not relevant to the customer’s disability or VR needs.

In addition to complying with the policies and procedures below, VR staff must ensure that the customer’s information remains confidential. For additional information about customer confidentiality requirements, refer to A-206: Confidentiality and Use of Customer Records and Information

Do not include the following in a case note:

* Information duplicated in other sections of RHW or on other forms or reports in the paper case file unless:
  + the information is significant to that case note (if so, summarize the information.); or
  + the case note is a summary, such as in:
    - a diagnostic interview;
    - a comprehensive assessment; or
    - a case note from elsewhere;
* information that is not directly related to the identified disability;
* information that is not relevant to VR services;; or
* details of a customer's Computerized Criminal History (CCH).

When there is potentially sensitive information that is relevant to the identified disability or VR services, VR staff should consult with the VR Supervisor prior to including this information in a case note in RHW to ensure that it is appropriate to do so.

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## D-307: Processing Closed Case Files

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### D-307-1: Pulling Closed Case Files for Storage

For each case file on the inventory sheet that is pulled for storage, VR staff should:

* Remove the sealed Computerized Criminal History (CCH) report from the paper case file. Write the customer's last name, first initial, and case ID on the confidential envelope. Place the envelope in a separate box bound for RMC for storage.
* Print any necessary records stored on CD and file the copies in the paper case file. Remove the CD from the case file and place it in the locked confidential shredding container.
* Secure any loose papers to the file prongs and remove staples, clips and post-it notes from the entire file. Small sheets of paper must be copied to a standard 8 1/2 by 11-inch letter size paper.
* Documents in six-sided files must be taken out and put into a regular two-sided file.
* Envelopes, with the exclusion of the sealed CCH envelopes, must be opened and the documents removed from the envelope. If the documents are folded, they must lay flat in the file.
* Record on the tab label the customer's last name, first name, and case ID.
* Stamp "Confidential" on the front and back of each file.
* Using a black felt-tip marker, write the fiscal year in which the case was closed on the outside of the file jacket.
* Change the file location status in ReHabWorks to:
  + “Records Center” if the file was closed prior to FY 2017, or
  + “FileNet” if the file was closed in or after FY 2017.