# **Vocational Rehabilitation Services Manual D-300: Records Management**

Revised October 2, 2023

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## D-303: Case File Organization

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### D-303-1: Case Files

Documentation of service delivery, including contact reports and other reports, are maintained in either a virtual case file or a two- or six-sided paper case file.

Any electronic documents that are not contained in RHW are contained virtually in a shared drive such as the Unit G: Drive, SharePoint, OneDrive, etc. RHW must be updated to indicate the status of the case file as either:

* Virtual – all documents are stored electronically,
* Paper – all documents are stored in a paper case file, or
* Mixed – some documents are stored electronically and in a paper case file.

**Documentation Order**

Each region may determine which type of paper case file is used. In either case, the following documentation order must be maintained, two- or six-sided. Each section of the case file should be organized so that initial documents are on the bottom and most recent are on the top unless otherwise specified. Because of the volume of information often contained in the six-sided case file, dividers should be used to section off certain areas of documentation. This makes the information easier to access on a routine basis.

**Two-Sided Case File**

The VR staff files the following documents from bottom to top on the left side of the case file in the order received, making sure that all financial documents are grouped together, including:

* invoices;
* bidding documentation;
* signed itemized receipts;
* all service authorizations;
* correspondence with providers regarding billing; and
* all other documents related to customer purchases.

The VR staff then files the following documents from bottom to top on the right side of the case file in the order received, as follows:

* Signed release forms;
* Signed paper individualized plan for employment (IPE) or IPE amendments;
* Correspondence;
* All relevant records and reports and assessments;
* Copies of documents verifying the customer's identity and authorization for employment in the United States;
* Financial records used to verify customer income and expenses for calculating participation in cost of services;
* Verification of eligibility for Social Security Income/Social Security Disability Income benefits; and
* All other documents related to the customer's VR program.

**Six-Sided Case File—Vocational Rehabilitation**

Side 1: Basic information is placed in the following order from bottom to top, chronologically (most recent on top), and separated by a divider:

* Old contact reports (CB-4) in chronological order, most recent on top, documenting activity from intake through closure and, if necessary, post-employment
* If paper application is taken, VR5056, Application for Vocational Rehabilitation Services; pseudo PIN is used in ReHabWorks (RHW)
* VR5060, Permission to Collect Information (optional)
* VR5061, Notice and Consent for Disclosure of Personal Information
* VR1390, Checklist for Determining Significance of Disability (if used)
* VR5163, Individualized Plan for Employment (IPE) and VR5159, Individualized Plan for Employment (IPE) Amendment; entered in RHW using a pseudo PIN
* Customer Data Sheet (CDS) or Initial Contact Page from RHW (optional)
* Any other document that is signed with a pen, ink signature, or digital signature that is later entered in RHW using a pseudo PIN
* Copies of the customer's driver's license or ID card, and health insurance card(s)

Side 2: Medical information. All reports relating to medical information—for example, eye examination results, physician notes, general physical examination, low-vision reports, and psychological reports—are placed in chronological order from top to bottom, most recent on top, and separated by a divider.

Side 3: Assessments are placed in the following order from top to bottom, chronologically, and separated by dividers:

* Diabetic service reports, including evaluation and training;
* Orientation and Mobility reports, including evaluation and training reports; and
* Copies of past admissions, review, and dismissals (ARDs) if side four is full. (These should be at the bottom of side three using a tab to separate from other items.)

Side 4: Educational and vocational information is placed in the following order from top to bottom, chronologically, and separated by a divider. (For vocational service information, each service type is separated by a divider.):

* Vocational evaluation or training reports;
* Academic-related reports, for example, exemption from payment of tuition, copies of grades, class schedules;
* On-the-job training reports, job development, and job placement reports; and
* For Transition cases, copies of the child's ARD, Individualized Education Program, individualized treatment plan, and/or individualized family service plan (updated at a minimum every three years).

Note: Once side four is full of ARD paperwork, then older ARDs are moved to the bottom of side three; only the most current ARDs remain on side four.

Side 5: Documentation of equipment purchases and general correspondence are placed in the following order from top to bottom, chronologically, and separated by a divider:

* All documentation related to equipment purchases (that is, purchase packets, equipment receipts, the VR2014, Rehabilitation Equipment Receipt and Agreement); and
* General correspondence, including letters to and from family, letters to and from vendors, and Social Security packets.

Note: Flyers and other mail-outs to customers do not have to be printed and placed in the case file. A scanned copy of a mail-out can be pasted in case notes, or a brief case note can be entered summarizing a mail-out.

Side 6: Service authorizations (SA) and invoices with references to SAs are placed in chronological order with the most recent on top and separated by a divider.

Note: A paper copy of the SA is required in the case file. Case file copies of requisitions and vouchers should have a copy of the invoice and/or reader service statement attached before filing. SA numbers must be written on invoices.

**Second Case File**

When the volume of information on a customer is more than a single case file can physically hold, a second case file can be used.

The following information must be transferred to the second case file:

* Medical release forms
* The most current IPE
* The most current eye report
* All documentation necessary for the current management of a case

As a rule, the original case file should retain extensive past training reports and pertinent information regarding customer purchases.

**Case Files for Potentially Eligible Students**

A paper and/or virtual case file is required for each potentially eligible student. The case file for a potentially eligible student must include:

* the VR1820, Request to Receive Pre-Employment Transition Services;
* documentation verifying the student’s disability;
* any release forms;
* any referral forms, reports, invoices, and relevant documentation related to Pre-ETS; and
* documentation of legal status to work in the United States. (Note: This documentation is required only when a potentially eligible student is participating in a work placement as part of work-based learning.)

When closing a potentially eligible student’s case, VR staff must follow the policy in this chapter related to closing the paper case file.

**Maintaining Closed Case Files**

TWC-VR must keep all documents, including financial records, in the closed customer virtual and/or paper case file, which is stored for a total of seven years.

Field offices are responsible for securely storing closed case files in the current and preceding fiscal year of the case closure.

Upon completion of the fiscal year, field offices are required to ship paper case files that are closed to the Texas Workforce Commission (TWC) Records Management Center (RMC) in accordance with procedures in the TWC Records and Information Management Manual, Records Storage (PDF).

Staff may retrieve closed customer paper case files from the TWC RMC in accordance with TWC Records and Information Management Manual, Records Storage.

Staff may retrieve closed virtual case files from the Management Unit where the case file was closed.

**Reopening a Case**

When starting a new file on a case that was previously active, the VR staff copies or downloads significant documents from the closed case file for placement in the new file. Do not remove forms, reports, and other data from the old file.

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