# Vocational Rehabilitation Services Manual D-300: Records Management

Revised July 1, 2019

## D-303: Case File Organization

The case file system consists of an electronic case file and paper case file.

The purpose of this section is to describe processes necessary for paper case file uniformity. The VR staff is ultimately responsible for the:

* management of the caseload;
* location of case files; and
* case correction activities.

VR staff must:

* secure all documents from the customer case file to the file jacket;
* record the customer's last name and first name (for example, García, Isabella A.) and case ID on the tab label of each case file jacket;
* stamp "Confidential" on the front and back of the case file jacket;
* ensure that all documents are date-stamped or otherwise marked with the date that the document is generated and/or received in the office; and
* date-stamp the first and last pages of the packets for documents containing many pages (such as packets of medical records).

### D-303-1: Two-Sided or Six-Sided Case Files

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#### 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](https://twc.texas.gov/forms/index.html); pseudo PIN is used in ReHabWorks (RHW)
* [VR5060, Permission to Collect Information](http://intra.twc.state.tx.us/intranet/gl/html/vocational_rehab_forms.html) (optional)
* [VR5061, Notice and Consent for Disclosure of Personal Information](http://intra.twc.state.tx.us/intranet/gl/html/vocational_rehab_forms.html)
* [VR1390, Checklist for Determining Significance of Disability](http://intra.twc.state.tx.us/intranet/gl/html/vocational_rehab_forms.html) (if used)
* [VR5163, Individualized Plan for Employment (IPE)](https://twc.texas.gov/forms/index.html) and [VR5159, Individualized Plan for Employment (IPE) Amendment](https://twc.texas.gov/forms/index.html); 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 and ink 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](http://intra.twc.state.tx.us/intranet/gl/html/vocational_rehab_forms.html)); 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 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.

#### Preparing and Closing the Paper Case File

Six-sided case files must be reorganized as two-sided case files when a case is closed.

Exception: Documents associated with billing for multiple customer purchases must be placed in a centralized file in the field office.

#### Maintaining Closed Case Files

Keep all documents, including financial records, in the closed customer paper case file, which is stored for a total of five years.

Field offices only store files for cases closed in the current and preceding fiscal year.

Ship all other closed customer paper case files to the Texas Workforce Commission (TWC) Records Management Center (RMC) in accordance with procedures in the [TWC Records and Information Management Manual, Section 3.4 Storage of Records at Records Management Center](http://intra.twc.state.tx.us/intranet/phss/docs/rm_policy_sop.pdf).

Retrieve closed customer paper case files from the TWC RMC in accordance with [TWC Records and Information Management Manual, Section 3.14 Retrieving Stored Records](http://intra.twc.state.tx.us/intranet/phss/docs/rm_policy_sop.pdf).

#### Reopening a Case

When starting a new file on a case that was previously active, the VR staff copies 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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## D-304: Transfer of Cases and Caseloads

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### D-304-2: Transfer of Open Cases

Within three business days of receiving a request to transfer an open case, the current VR counselor and RA team must:

* document the request for a transfer, including the reason that the case is being transferred and the office to which it is being transferred;
* update all demographic information in RHW;
* review and/or update the IPE, joint annual review (JAR), or IPE amendment (for the VR counselor only);
* review and/or update disability information in RHW (for the VR counselor only);
* close or update all service records;
* pay and/or close all service authorizations; and
* notify the VR Manager about the request for a case transfer.

Providers must be notified when service authorizations are closed without payment. The receiving unit issues a new service authorization when the case is received for ongoing services, when applicable.

#### Transferring within the Same Supervisory Unit

A formal case review is not required for cases that are transferred within the same supervisory unit; however, the VR Manager must enter an RHW case note to verify that the transfer has been completed.

The VR counselor/RA team to which the case is assigned must contact the customer in a timely manner to schedule an appointment for the customer to meet with the assigned VR counselor to resume services.

#### Transferring to a Different Supervisory Unit

Within five business days of receiving a request for a case transfer, the transferring VR Manager or VR Supervisor:

* completes a partial Compliance and Quality review of the Customer Eligibility, Application, and Diagnostic Interview, the Eligibility Decision, and the Level of Significance in TxROCS;
* prints a copy of the completed case review;
* using certified mail, sends the case file and the printed copy of completed case review to the receiving office;
* completes [VR1025, Case Transfer Letter](http://intra.twc.state.tx.us/intranet/gl/html/vocational_rehab_forms.html), notifying the customer that his or her file has been sent to the receiving office; and
* places a copy of the transfer letter in the customer's case file.

Within three business days of receiving the paper case file, the receiving VR Manager or VR Supervisor:

* assigns the case to the receiving counselor in RHW;
* enters a case note verifying that the case was received and assigned; and
* notifies the VR counselor that the case was assigned.

#### Transferring a Transition Services Case

An individual who is a student with a disability and is working with a TVRC is transferred to a general VR caseload after he or she no longer meets the “student with a disability” definition and has demonstrated regular participation in planned services. Typically, students who are assigned to a VR counselor with a dual caseload (one that includes adults as well as students and youth) are not typically transferred to another caseload. Instead, they continue services with the same VR counselor until they are ready for closure of the case.

When a student no longer meets the “student with a disability” definition and is participating in his or her VR case, in most cases it is appropriate to transfer the case to a general VR counselor caseload. The exception is when in individual no longer meets the “student with a disability” definition near the time when he or she is ready for successful closure. In that case, the TVRC may close them successfully.

Unless the student is moving to a new region, the student should have at least one joint contact with the TVRC and the receiving VR counselor before the transfer, to discuss pertinent issues and facilitate the process. The student's IPE must be followed, unless amended by the VR counselor and the student.

When there are questions related to transferring a student from transition services to general VR services, they are addressed by the VR Manager.