# Vocational Rehabilitation Services Manual D-300: Records Management

Revised October 1, 2020

## 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 Management Unit

A formal case review is not required for cases that are transferred within the same management unit; however, the VR Manager or VR Supervisor must enter a RHW case note to verify that the transfer has been completed. In Units with two VR Supervisors, they should coordinate the transfer.

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 Management Unit

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

* 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.

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## D-307: Processing Closed Case Files

At the end of the fiscal year, closed customer case files from the previous fiscal year are boxed, sent, and stored at the TWC Records Management Center (RMC).

Each office is responsible for completing an Inventory and Transmittal Spreadsheet; staff must request blank spreadsheets from Claimant Files ([claimant.files@twc.state.tx.us](mailto:claimant.files@twc.state.tx.us)). Completed spreadsheets are emailed to Claimant Files. VR staff box and ship the closed customer case files to the RMC.

### 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,
  + "FileNet" if the file was closed in FY 2017, or
  + "Records Center" if the file was closed in or after FY 2018.

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### D-307-4: Completing the Transmittal Spreadsheet

Once VR staff have completed the file inventory, a Transmittal Spreadsheet for all the files will need to be completed.

For each line of the transmittal, VR staff will list information about one box within the batch:

* Customer Box Number (4-digit cost center and box number)
* Major and Minor Description (Major description example: FY'20 closed customer case files.) (Leave Minor description blank.)
* Alpha FROM and TO (this is the last name of the first customer in box and last name of the last customer in the box)
* Destruction Date (The close date of the fiscal year plus seven years. Example: For FY'20, this will be 8/31/2027.)
* Date FROM and TO (Example: From date: Beginning of fiscal year. For FY'20, this would be 9/1/19. To date: End of fiscal year. For FY'20, this would be 8/31/20.)

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### D-307-6: Requesting Pickup

VR staff email both the File Inventory and Transmittals worksheets in Excel format to [claimant.files@twc.state.tx.us](mailto:claimant.files@twc.state.tx.us) for approval and upload.

The following information is included in the email:

* On the subject line: Cost Center number, FY 20 Closed Customer Case, City of Field Office
* Contact information (Contact Name and Phone number)
* Physical pickup location (street address, room or suite number, city, state, ZIP code)
* Special instructions for location access, if any
* Number of boxes you are requesting to have picked up

A separate email is sent for CCH records. The following information is included in the email message:

* On the subject line: CCH files
* Contact information (Contact Name and Phone number)
* Physical pickup location (street address, room or suite number, city, state, ZIP code)
* Special instructions for location access, if any
* Number of boxes you are requesting to have picked up.

VR staff should double-tape all boxes (not covering the hand-holds) to secure the lids to the boxes and ensure that no records spill out during transit.

TWC RMC staff will review the inventory and transmittals sheets for approval. Upon approval from the RMC, the field office will schedule the shipment of the files to the previous fiscal year files to the address below:

Texas Workforce Commission  
Records Management Center  
4405 Springdale Road Suite C  
Austin, TX 78723

Field office staff will need to determine the supplies needed for shipping the files and coordinate with the third-party shipping vendor.

Effective September 1, 2018, the TWC express shipping provider is FedEx. Please refer to the TWC Mail Services Instructions (PDF) (<http://intra.twc.state.tx.us/intranet/phss/docs/mail_services_instructions.pdf>) for further information on shipping using FedEx.

When using a third-party shipping service, the TWC [EMA-65 Express Mail Authorization form](http://intra.twc.state.tx.us/intranet/gl/docs/ema-65.docx) must be completed and emailed only to [Alisha.Lewis@twc.state.tx.us](mailto:Alisha.Lewis@twc.state.tx.us). When emailing the EMA-65 Express Mail Authorization form, do not attach or include the Inventory and Transmittal spreadsheet.

VR staff must:

* Ensure personally identifiable information (PII) is not exposed.
* Make sure that all boxes are double-taped (not covering the hand-holds) to ensure that no records will spill during transit.
* Save file inventories in a secure place.