

3.1 Case File as an Official Document

The case file in the local office is considered to be the legal record of the case and should be treated as such by all vocational rehabilitation personnel. The official case file will be a combination of the paper case file and the information saved electronically in the VR FACES.

Folders are to be secured where consumers or others may not gain access to them or extract information from them. Likewise, computer screens displaying consumer information should not be left unattended or unsecured.

No information will be provided indiscriminately and will adhere to the confidentiality guidelines. The consumer must be informed that all personal information given or made available to DRS/SBVI in the course of administration of the individual's vocational rehabilitation program will be confidential. The use of personally identifiable information and records will be limited to purposes directly connected with the administration of the program. To view Program Guide 03-07 for more information on release of personal information, [\[click here\]](#).

Information will be obtained from service providers and cooperating agencies using a release of information form signed by the consumer. Information requested from such agencies as the Human Services Center and the Veterans Administration must be requested on the release forms provided to DRS by these agencies. Information providers will be assured that information received in this way will not be further released without the consumer's approval, except in response to an order, subpoena, or summons issued by the court or other judicial body.

The following records must be maintained as paper copy in the case file:

- a. Application for VR Services
- b. Certificate of Eligibility
 1. Plans for Extended Evaluation
- c. IPE and all subsequent IPE amendments
- d. All releases of information
- e. Case Closure Letter (All Cases)
- f. Repossession Agreement and other forms requiring consumer signature
- g. Financial Needs Assessment
- h. Consumer Information provided from outside sources
- i. Billings/invoices for payment
- j. Voter Registration Form as an election document (including minors)
- k. Forms and referrals which are not stored electronically on FACES
- l. Written correspondences from the applicant/consumer, their family or advocates.
- m. Learning Disability worksheet
- n. SSA verification
- o. BPQY verification

The following records will be maintained in electronic format on FACES

- a. Case Notes
- b. Letters and Correspondence sent by the counselor
- c. Forms on which counselor/consumer signature is not required
- d. Electronic reports and electronic correspondences
- e. Rationale Goal Selection and Services

FILE ORGANIZATION: The paper case file should be organized in such a way that persons unfamiliar with the case could find information with minimum difficulty. This would be beneficial when a case is being transferred, when an audit is being done, or when someone else has to refer to the case in the counselor's absence. The paper case file should be labeled with the individual's last name, first name, and Case Master ID. The paper case files should be organized in the following manner from the left to the right of the file:

Section 1 - Signed Documents

- South Dakota agency voter registration form
- Application
- HIPAA acknowledgement of receipt
- Eligibility Certificate or Ineligibility Certificate
- Financial Needs Worksheet-attach income records (income tax return, wage slips)
- Ticket to Work Form 1365
- Repossession agreement
- IPE (if more than one, put most recent one on the top)
- Closure letter (should be at the top of this section at closure)
- Learning Disability worksheet before eligibility certificate

Section 2 – Billings

- To include all bills/invoices
- Closure report (should be at the top of this section at closure)

Section 3 – Work and School

- Monthly provider reports
- IEP's
- Project Skills documents
- Resume
- Disability Preference Form
- Grades
- 336 Form
- Assessments including Liz Fabiano worksheet, rationale goals

Section 4 – Correspondence

- Letters from CAP other than a request for release of information
- Letters from other agencies and consumers
- Other response letters not stored in VR FACES
- Letters dealing with due process
- Copies of emails if not stored in VR FACES
- SSA Verification

Section 5 – Releases

- All VR release forms, including release for Human Services Center or VA
- Requests for records from lawyers, Disability Determination Services, and CAP
- Copies of the cover letters releasing the records and invoice for copies.

Section 6 – Records

- Medical, psychological, and other records or information used in the eligibility decision
- BPQY

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