

Rehabilitation Administrative Manual  
RECORD OF SERVICES

Chapter 30

Exhibit A

**Standardized Statewide Record of Services Documentation System**

(Revised 01/16)

- Attachment A—Documentation in AWARE Data Pages
- Attachment B—Documentation Required in AWARE Case Notes
- Attachment C—Documentation Required in the Hardcopy Record of Services
- Attachment D—Required Organization for the Hardcopy Record of Services

The term “record of services” will be used when referring to the entire case file, including electronic documentation entered in AWARE or placed in the hardcopy file.

The Rehabilitation Counselor or designated district staff will:

- Complete electronic record of services documentation in AWARE, including, but not limited to, case notes, forms, and Activity Dues in accordance with the policies and processes described in this chapter.
- Copy any documentation completed in another medium, such as MS Word, into an AWARE case note.
- Attach documentation received from an outside source, such as progress reports, to the record of services in AWARE.

All records of services opened after the publication of this document will follow this documentation policy.

Refer to the [AWARE Reference Guide](#) for information on attaching documentation in AWARE.

Refer to Rehabilitation Administrative Manual (RAM) Section 3001 for general requirements pertaining to the content of the record of services.

Authority: 34 CFR 361.47; CCR, title 9, section 7122.

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**Attachment A—Documentation in AWARE Data Pages**

The DOR shall use the following AWARE Data Pages, as appropriate to the individual case:

1. Application

- Personal Information
- Personal Contacts Layout
- New Personal Contact
- Application
- Work History Layout
- New Work History
- Eye Medical Exam Layout
- New Eye Medical Exam
- Disability Layout
- New Disability
- Special Programs
- Application Documentation
- Transportation Information

2. Eligibility

- Disability Priority
- Eligibility Determination
- Eligibility Determination Ext.
- Trial Work Experiences Plan
- Extended Evaluation Plan
- Ticket to Work

3. Service and Employment

- Rehabilitation Plan Layout
- New Rehabilitation Plan
- Plan Development Extension Layout
- New Plan Development Layout
- New Plan Review
- Service Interrupted Layout

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- New Service Interrupted
  - Job Ready
  - Job Search Activity Layout
  - New Job Search Activity
  - Job Applications Layout
  - New Job Application
  - Employment Layout
  - New Employment
4. Closure and After
- Closure
  - PES Plan Layout
  - New PES Plan
  - Follow-up Layout
5. Financial
- Authorization Layout
  - New Authorization
  - Payment Layout
6. Other
- Case Notes Layout
  - New Case Note
  - Attachment Layout
  - New Attachment
  - Activity Due Layout
  - New Activity Due
  - Case Event History
  - Case Management
  - Quick View
  - Guest Access Layout
  - New Guest Access
  - Case Access Exception Layout
  - Help Desk Personal
  - Help Desk Case

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Signed documents listed above, such as the Eligibility Determination, Plan Development Extension, IPE, IPE Amendments, Plan Reviews, and the Closure Report must be stored in both AWARE and the hardcopy record of services.

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**Attachment B—Documentation Required in AWARE Case Notes**

Staff are encouraged to record as much information as possible directly into AWARE through case notes, page layouts, and attachments. In accordance with Section 3001, significant written and/or email communications, medical records, and progress reports pertaining to an applicant or consumer's record of services must be copied into an AWARE case note or uploaded as an attachment.

Staff will ensure that the title of the case note accurately describes the contents of the case note.

The following case notes will apply:

- All case notes, including those documenting informed choice, vocational exploration, and related activities.
- Delayed Status (30-day and 60-day) Contacts.
- Eligibility Determination.
- Federal Follow-Up Needed.
- Ineligibility Determination.
- Initial Interview.
- Progress Updates.
- Presumptive Eligibility Determination.
- Presumptive Eligibility Not Applied.
- Supervisory/Administrative Review Letters.
- Transfer Summary.

Case notes may be entered into AWARE by VRSD team members, as well as the District Administrator, Medical Consultant, Consulting Psychologist, Work Incentive Planner, and other designated DOR staff.

Supervisory/Administrative letters will be recorded directly into AWARE or uploaded into an AWARE case note, if recorded or received in an alternate format.

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**Attachment C—Documentation Required in the Hardcopy Record of Services**

The following has been developed as the minimum documentation required in the hardcopy record of services:

- DR 212 NOTICE OF ELIGIBILITY AND PRIORITY FOR SERVICES
- DR 215 INDIVIDUALIZED PLAN FOR EMPLOYMENT
- DR 216 PLAN REVIEW
- DR 218 HEALTH QUESTIONNAIRE
- DR 222 APPLICATION FOR VOCATIONAL REHABILITATION SERVICES
- DR 229A CLOSURE REPORT - REHABILITATED
- DR 229B CLOSURE REPORT – OTHER THAN REHABILITATED
- Authorization Register
- Medical records
- Letters from agency staff to consumers
- Letters from consumers
- Significant email communications
- Agency and school progress reports, if applicable
- Bank draft receipts, if applicable, including bank draft receipts for books and supplies.

Educational records including FAFSA (Free Application for Federal Student Aid), financial aid award/denial letter, grade transcripts, and books/supplies lists must be placed in the hardcopy record of services, if applicable.

Documentation of applicant or consumer Social Security beneficiary status must be placed in the hardcopy record of services, if applicable. Contact with the Social Security Administration (SSA) or Maximus to verify status should be documented in an AWARE case note, with the written verification placed in the hardcopy record of services, when received. Documentation such as SSA award / benefit letters shall also be placed in the hardcopy record of services.

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Other documentation that may be required in the hardcopy record of services, if applicable to the individual record of services, including, but not limited to, the following:

- DR 10 LEAP CERTIFICATION
- DR 107 REQUEST FOR MEDITATION AND/OR FAIR HEARING
- DR 108 AUTHORIZED REPRESENTATIVE
- DR 173 ISP SERVICE PROVIDER REFERRAL
- DR 211 ELIGIBILITY DETERMINATION EXTENSION
- DR 214A PLAN DEVELOPMENT EXTENSION
- DR 215A PLAN AMENDMENT
- DR 217 PLAN SERVICES INTERRUPTED
- DR 222B EMPLOYMENT RECORD
- DR 225 FUNCTIONAL CAPACITIES EVALUATION
- DR 233 STATEMENT OF FINANCIAL STATUS
- DR 246 REFERRAL FOR PSYCHOLOGICAL TESTING
- DR 254 DEPOSIT AGREEMENT
- DR 264 CONSENT TO RELEASE NON-MEDICAL PERSONAL/CONFIDENTIAL INFORMATION
- DR 264A CONSENT TO RELEASE MEDICAL INFORMATION
- DR 381 SE JOB PLACEMENT PARAMETERS
- DR 383 SE JOB PLACEMENT INFORMATION
- DR 387 SE NOTICE OF TRANSITION INTO EXTENDED SERVICES
- DR 701 CHILD CARE PROVIDER CHOICE
- TWE/EE PLAN

Additional DOR forms and other documentation not listed previously in this section may be placed in the hardcopy record of services as needed.

The above-referenced records may be scanned into AWARE and attached to a case note in lieu of the hardcopy record of services, except forms related to the non-delegable functions must be in the hardcopy record of services.

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**Attachment D—Required Organization for the Hardcopy Record of Services**

The following has been developed as the minimum requirement for organization of the hardcopy record of services:

**The Case File Folder (manila) contains the following folders, in this specific order:**

1. DR 234 Basic Document Folder (white)
2. DR 235 Medical Folder (goldenrod)
3. Training / Placement / Supported Employment Folder (blue)
4. Bank Draft / Accounting Folder (green)
5. Miscellaneous Documents (stored at back of record of services)

In all folders or groups, the most current items shall be on top.

**Documentation to be stapled inside the front cover of the Case File Folder (left side) includes the following, as appropriate:**

- DR 211 ELIGIBILITY DETERMINATION EXTENSION, if applicable
- TWE/EE Plans
- DR 212 NOTICE OF ELIGIBILITY AND PRIORITY FOR SERVICES
- DR 214A Plan Development Extension (if any)
- DR 215 INDIVIDUALIZED PLAN FOR EMPLOYMENT
- DR 215A PLAN AMENDMENT(S)
- DR 216 PLAN REVIEW(S)
- Authorization Register
- DR 217 PLAN SERVICES INTERRUPTED
- DR 229A CLOSURE REPORT – REHABILITATED (placed inside the folder, on top of other documents at closure)
- DR 229B CLOSURE REPORT – OTHER THAN REHABILITATED (placed inside the folder, on top of other documents at closure)

**The DR 234 Basic Document Folder (white) contains the following:**

- Personal Information (stapled to the outside top cover).
- DR 222 APPLICATION FOR VOCATIONAL REHABILITATION SERVICES



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- DR 222B EMPLOYMENT RECORD
- DR 264 CONSENT TO RELEASE NON-MEDICAL PERSONAL/CONFIDENTIAL INFORMATION
- Case Notes (optional, since all case notes must be in AWARE)

### **The DR 235 Medical Folder (goldenrod) may contain the following:**

- DR 218 HEALTH QUESTIONNAIRE.
- DR 264A CONSENT TO RELEASE MEDICAL INFORMATION.
- Medical reports and correspondence, including printed and electronic (CD/DVDs in envelopes should be stapled to medical folder).
- Psychological testing reports, including printed and electronic (CD/DVDs in envelopes should be stapled to medical folder).

### Medical reports may include any of the following forms:

- DR 223 GENERAL MEDICAL EXAM
- DR 223C REPORT OF OPTOMETRIC EXAMINATION
- DR 224A MEDICAL EXAM – CALL
- DR 224B MEDICAL EXAM – APPOINTMENT
- DR 225 FUNCTIONAL CAPACITIES EVALUATION
- DR 236 MEDI-CAL REFERRAL FORM
- DR 237 PRESCRIPTION – DURABLE MEDICAL EQUIPMENT
- DR 238 PHYSICIAN'S MEDICAL PROGRESS REPORT
- DR 246 REFERRAL FOR PSYCHOLOGICAL TESTING
- DR 353 MEDICAL RECORDS BILLING
- DR 358H HEARING AID / DEVICE RECOMMENDATION
- DR 360 DENTAL CONSULTANT WORKSHEET
- DR 361 HEALTH CARE PROVIDER APPLICATION
- DR 363 MEDICAL DEVICE / APPLIANCE DISPENSING REPORT

### **The Training / Placement / Supported Employment Folder (blue) may contain the following:**

- Completed FAFSA
- Financial Aid Award/Denial Letter
- Grade transcripts and reports

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- Books/Supplies lists
- DR 10 LEAP CERTIFICATION
- DR 173 ISP PROVIDER REFERRAL
- DR 381 SE JOB PLACEMENT PARAMETERS
- DR 383 SE JOB PLACEMENT INFORMATION
- DR 387 SE NOTICE OF TRANSITION TO EXTENDED SERVICES
- DR 701 CHILD CARE PROVIDER CHOICE
- Progress Reports, including school, agency, and ISP

**The Bank Draft / Accounting Folder (green) may contain the following:**

- DR 233 STATEMENT OF FINANCIAL STATUS
- DR 254 DEPOSIT AGREEMENT
- Bid documentation
- Receipts (required for all bank drafts)

**The Work Incentives Planning Services Folder (red) may contain the following:**

- Contact Log
- Information Gathering Form
- Benefits Planning Query Report (BPQY) Report
- Signed release forms specific to Work Incentives Planning Services
- Benefits verification documents
- Intake appointment letters, other letters and correspondence
- Benefits Summary and Analysis
- Work Incentives Plan
- Other deliverables
- Pertinent referral forms
- Significant email communication
- Notices and/or letters from Social Security Administration or other agencies pertaining to a consumer's benefits

Additional DOR forms and other documentation specific to Work Incentives Planning Services not listed previously in this section may be placed in the hardcopy record of services as needed.

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The above-referenced records may not apply to all consumers receiving Work Incentives Planning Services.

The above-referenced records may be scanned into AWARE and attached to a case note in lieu of the hardcopy record of services.

### **Miscellaneous documentation placed in back of the hardcopy record of services (manila) may include the following:**

- Letters from DOR staff to consumers.
- Letters from consumers, other individuals, and agencies relevant to the record of services.
- Significant email communication.
- Consumer Social Security beneficiary status documentation
- Copy of the Ticket to Work, if used for Social Security beneficiary status documentation.
- DR 107 REQUEST FOR MEDITATION AND/OR FAIR HEARING.
- DR 108 AUTHORIZED REPRESENTATIVE.