



IDVR Annual Case File Review (2019 Season)

Case Review Information

1. Please enter the case master ID for this file:

2. Enter Caseload Number

3. Please select the reviewer for this case:

- Reviewer 1: Trainer (SW)
- Reviewer 2: PEM (TP)
- Reviewer 3: PA (AG)
- Reviewer 4: PEA (MM)
- Reviewer 5: Chief (DQ)
- Reviewer 6: RM (TZ/DT/SB/JO)
- Reviewer 7: ARM (CL/SS/HH/LN)

* 4. Did this case use a Trial Work Plan? [SKIP LOGIC]

- Yes
- No



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Trial Work 34 CFR 361.42(e-f) | FSPM 5.6.2 | QCCD p. 64-65

*** 5. Was Trial Work used appropriately?**

A Trial Work Plan may be indicated at any time in the VR process when the VRC questions the customer's ability to benefit from VR in terms of an employment outcome.

A **YES** response if the requirements of 1 and 2 are met without any NO violations:

1. Trial Work Plan/Case Note supports use of Trial Work including:

- TWE plan contains justification of the rationale for using Trial Work
- This case note includes specific information relevant to questioning an individual's ability to benefit from services.

2. Trial Work resulted in:

- Program eligibility/resumption of the VR process OR
- Clear and convincing evidence (and accompanying rationale) that the individual cannot benefit from services collected from at least 3 environments over the past 18 months OR
- Trial Work is in progress (with supporting rationale in place).

A **NO** response should be given if any of the following conditions are met:

- Case record does not document rationale for use of Trial Work
- Case record does not relate customer's disability to the need for Trial Work
- For completed Trial Work Plans: Case record does not explain reasons for case closure or continuation (doesn't justify action)
- Trial Work was conducted for reason other than determining customer's ability to benefit (e.g. trial work was used in lieu of doing an extension).

Yes

No

N/A

Comment



6. Is the verified application date (per policy) found in the application date field in Aware? (The application date in the Aware system will be the date the last step in the application process is completed).

Assign **YES** if either condition 1 OR 2 is met:

1. The last signature date (customer or guardian where applicable) on the scanned/attached application signature sheet [Intake Documents] matches the application date field in Aware **OR**
2. The date stamp on the scanned/attached application signature sheet matches the application date field in Aware **AND** a case note is present explaining this

Assign **NO** if:

- Neither condition of YES is met **OR**
- The intake date in Aware is earlier than the date on the application signature page.

Yes

No

N/A

Comment

7. Did this case close from Trial Work

Yes

No

Comment

8. Does the date of the qualified staff's signature for eligibility determination match the eligibility date field in Aware?

[Eligibility Determination Page --> Print Eligibility Determination --> verify signature is present]

Assign **YES** if both conditions are met:

- Signatory is qualified per policy to approve eligibility determinations (Verify against list generated for reviewers) AND
- Date of signature is = to the eligibility date in Aware.

Assign **NO** if any of the following conditions are met:

- Approver is not qualified per policy to make eligibility determinations (loose cannon)
- Date of qualified staff signature is not = to eligibility date

Yes

No

N/A

Comment

* 9. **Verification of physical/mental impairment(s) is present in Aware Attachments** per 361.42(a)(1), FSPM 5.5.A

ALL conditions must be present for **YES**:

- Each disability listed for the purpose of assessing program eligibility and priority for services is accompanied by **attached medical records** including a diagnosis issued by a **qualified practitioner** per FSPM 5.5.1 and IBOL and p. 44-62 of the SDE---
- Rule-outs (r/o) are *not* used as formal diagnoses

NO should be chosen if:

- No medical records are present
- No diagnosis is present
- Records used for a diagnosis were clearly too old to be considered (may vary due to disability and other considerations)
- Any requirement of YES is not met
 - Example 1: The counselor includes a diagnosis from a school psychologist that is not a learning disability. This is beyond the scope of acceptable diagnoses we would accept per policy and should select NO in these cases.
 - Example 2: An audiologist diagnosing anything other than hearing loss.
 - Example 3: Using a 10-year-old diagnosis for major depressive disorder for the purposes of program eligibility

Yes

No

N/A

Comment

* 10. All disabilities used for the purposes of eligibility determination and associated functional limitations (loss or restriction of ability as a result of a disability) clearly demonstrate a **substantial impediment to employment** (limits or prevents the individual from performing job tasks)

References: [Eligibility determination page] - Page 39 QCCD (Functional limitations vs. Substantial Impediment)

34 CFR 361.5(c)(52) defines "substantial impediment to employment" as meaning that a physical or mental impairment (in light of attendant medical, psychological, vocational, educational, communication, and other related factors) hinders an individual from preparing for, entering into, engaging in, advancing in, or retaining employment consistent with the individual's abilities and capabilities.

ALL conditions must be present for **YES**:

- Impediments to employment are stated in Aware
- Functional limitations are articulated in the disability sub-page in Aware
- Functional limitations are translated into substantial impediments which are employment related.
- If counselor observation is used, it is within their scope to assess the impact of the impediment, not to diagnose in the absence of supporting documentation from a qualified professional.

Assign **NO** if any of the conditions of YES are missing.

- Yes
- No
- N/A

Comment

* 11. Eligibility Determination Narrative is Completed:

For **YES** the following conditions must be present:

- Eligibility determination narrative references disabilities and impediments to employment

Select **NO** if narrative any of the following omits:

- Disability
- Impediments to employment
- (For SSI/SSDI only) Updated eligibility information was not entered into Aware following presumptive eligibility

Yes

No

N/A

Comment

* 12. Was this case closed before an IPE was developed? [SKIP LOGIC]

Yes

No



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IPE Development | 34 CFR 361.45 | FSPM 10.0

* 13. A Comprehensive Assessment has been completed for the most recent vocational goal on the IPE. The CA justifies and supports this vocational goal.

For **YES** all must be present:

- The CA outlines labor market conditions for the goal including prospective salary range and job outlook in the region(s) of interest to the customer.
- Informed choice was addressed and noted.
- Interests and abilities are addressed incorporating tools like job shadows and interest inventories when applicable.

Choose **NO** if:

- CA is not completed or lacks adequate descriptive information to support the vocational goal on plan.

Yes

No

N/A

Comment

* 14. All Planned Services on the IPE (and clones of that IPE) are essential for the customer to achieve the vocational goal [Pages > Services & Employment > Plan Layout]

Reviewer Note: This question focuses on the planned services the counselor has included on the IPE, not services they should have considered but missed (that is the next item):

For **YES** all of the following must be true:

- Justification is present that IDVR purchased services are required (needed) by the individual in order to achieve an employment outcome
- Purchased goods or services would be considered reasonable or customary for a case of this type

For **NO**:

- A purchased service/item is not related to achieving the employment goal.
 - Cost or service itself would be considered out-of-scope by a reasonable reviewer (the service need could have been met at a lower cost).
 - A service was unnecessary, or that level of service was unnecessary
 - e.g. the plan allows for the purchase of a laptop with a dedicated graphics card but the customer's major only requires web browsing and word processing tasks

Yes

No

N/A

Comment

* 15. Are all necessary services on the plan? (Plan addresses **ALL** disabilities/functional limitations that may impact employment, and does not omit services that may be required)?

For **YES** all of the following must be true:

- No question on the part of the reviewer that all expressed/diagnosed barriers are being addressed (that may negatively impact employment)
- Plan addresses those disabilities/functional limitations listed in the eligibility determination (or articulates why an disability isn't addressed).

For **NO**:

- Plan does not address issue that should clearly be addressed.
- Disability not addressed
 - Ex. Substance use disorder listed (and customer is potentially still using substance of choice) but this is not addressed in plan (regardless of comparable benefit, it needs to be on the plan)

Yes

No

N/A

Comment

* 16. **Comparable benefits** have been documented and used where possible:

Select **YES** if:

- A comparable benefit was used
- A comparable benefit was not used but a search was conducted
- A comparable benefit search turned up a potential benefit, but it would not have been available in a timely manner so VR purchased the service

Select **NO** if:

- A comparable benefit search turned up an available benefit, but VR purchased the service anyway
- No comparable benefit search is referenced in the case.

Select **N/A** if:

- No cost services were present on the case, therefore no CB search was required

Yes

No

N/A

Comment

17. Was the **IPE signed correctly** by all parties per policy?

For **YES** the following conditions must be met:

- Date in Aware matches qualified staff's approval signature
- IPE is signed by customer and customer's representative (as applicable).
 - In cases where the customer has a legal guardian, the parent/guardian signature is required.
- Signatures are found on the plan OR hard copy scan is attached to the case via a plans signature attachment under the category 'Hard Copy Signatures (IPE and FPA)'.

Assign **NO** if any of the following conditions are met:

- Date in Aware does not match approval signature date
- Staff approving is not (or was not) recognized as qualified to sign on the day of signing
- Parent or Guardian signature not present when customer is a minor or conservatee
- Customer signature not present with no accompanying rationale

Yes

No

N/A

Comment



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Record of Services | 34 CFR 361.47 | FSPM 12.0

* 18. The case record contains **adequate** documentation of **frequency of contact (per policy)** in the case record

Respond **YES** if:

- C&G addresses disability related issues, helps navigate the process and services, addresses issues on the job when they arise

Respond **NO** if:

- Contact is insufficient or documentation of contact is insufficient (e.g. Just letter contact by VRA every 30 days, or staff periodically left customer messages with no two-way communication or customer experienced issues, but no C&G was provided or articulated).

Yes

No

N/A

Comment

* 19. Customer informed choice is evident (documented) throughout the record of service (Vocational goal selection, identification of services and providers...etc)

Choose **YES** if:

- The case record contains references to informed choice where options are articulated (e.g. selection of Community Rehabilitation Provider).
- Other examples can include (and must if there are informed choice options relevant to the case):
 - Informed choice covered at orientation (if provided individually by counselor)
 - Informed choice in required service selection including assessment services
 - Informed choice in TWE (site selection, type, provider)
 - Informed choice in IPE Planning (vocational goal selection)
 - May be evidenced in narrative and could include Homework assignments to gain information necessary to make choice 'informed'
 - Informed choice in placement (place of employment)

Choose **NO** if:

- The case record is silent on informed choice OR does not address informed choice where options were clearly available.

- Yes
- No
- N/A

Comment

* 20. Do case notes adequately tell the customer's VR story through an articulation of decision points which occurred across the life-of-the-case?

For **YES**:

In general: Case notes weave milestones together to paint a picture of how we collaboratively got from a to b: they help illustrate how VR assistance helped the customer realize their vocational goal. The reviewer does not have to 'fill in the blanks' or guess to get the complete picture of the case.

1. Case notes clearly document collaboration between VRC and customer in planning, service delivery, and case closure.
2. Documentation of type of VR/customer communication accurately demonstrates vocational planning and service delivery
 - "Left voice mail" is insufficient communication, especially when repeated back-to-back without documented customer response

[Notes - Case > Counseling and Guidance]

- Yes
- No
- N/A

Comment

* 21. Were IPE reviews conducted at the required frequency?

Choose **YES** if: Plan reviews were conducted *at least annually* following the signing of the initial IPE through the customer's last stable date.

Choose **NO** if: A gap of greater than a year (366 days or more) exists between plan reviews.

Choose **N/A** if: The case lasted less than a year and no IPE review was warranted.

- Yes
- No
- N/A

Comment

* 22. Was the customer enrolled in secondary and/or postsecondary education or training? [SKIP LOGIC]

- Yes
- No



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Training and Education | RSA-TAC-19-01 | Educational Goals Business Rule

23. Does the **enrollment date** on the supporting documentation **match the "Begin Date"** for enrollment in education and training on the education datapage in Aware?

For **YES** all conditions must be met:

- If the customer was already in an education or training program prior to the initial IPE, the "Begin Date" of the program in Aware is earlier than the date of the initial IPE
 - In these cases the end date of training or education already in progress falls after the date of the initial IPE
- If the customer has education/training goal on the IPE the "Begin Date" falls on or after the date of the IPE
- Supporting documentation (e.g. IEP) is scanned into attachments meeting verification requirements

Answer **NO** if any of the following are true:

- Any of the conditions of YES are not true where applicable

- Yes
- No
- N/A

Other (please specify)

24. Does the date on the supporting documentation (transcript, report card, EFL, training milestone, skills progression) match the MSG completion date in Aware?

For **YES**:

- Required evidence for the MSG type is present in case file (see Table 1 below)
- Date on that required evidence matches the MSG completion date in Aware.

For **NO**:

- Completion date has been entered but verification has not yet been received
- Date on verification does not match the MSG completion date in Aware

Yes

No

N/A

Comment:

Table 1 (Types of Measurable Skill Gains)

Type of MSG	Educational Goal	Required Evidence
Educational Functioning Level	GED	GED Certification
High School Transcript or Report Card	9 th – 12 th grade	High School Transcript or Report Card meeting minimum requirements
High School Diploma	12 th grade	High School Diploma
Postsecondary Transcript or Report Card	1st – 4th year postsecondary - Higher than Bachelor's	College Transcript or Report Card meeting minimum requirements
Training Milestone	On The Job Training (OJT) Registered Apprenticeship	Satisfactory or better progress report toward completion of OJT or apprenticeship Increases in pay resulting from newly acquired skills or increased performance
Skills Progression	Career/Technical Training Program (with or without credential) Trade-Related Knowledge Based Exam	Certification of completion of program and/or passing score on exam



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Employment Logic Page

25. Did the case enter Service-E status (Employment Page Skip Logic)

Yes

No



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Employment | Verification and Stability

* 26. Initial documentation requirements **at employment** are met (initial employment verification).

For **YES** the conditions of 1, 2, **and** 3 must be met

1. Verified employment is consistent with IPE employment goal (MTAG). AND
2. Initial verification meets standards outlined in the Employment and Closure BR:
 - Verification includes wage (start date is a separate item later in this section - do not consider for this item)
 - is in the form of paystubs, employer correspondence (email, fax, letter) OR
 - Completed IDVR Employment Verification Form OR
 - Self-employment documentation (sales/expenditure receipts) or other similar documentation
3. Wage verification information matches the data entered into Aware.

Use **N/A** when the counselor has case noted repeated unsuccessful attempts to obtain initial employment verification elements.

Use **NO** when the conditions of YES or N/A are not met.

Yes

No

N/A

Comment

* 27. Documentation requirements **at closure** are met (closure employment verification).

For **YES** the conditions of 1, 2,**and** 3 must be met

1. Verified employment is consistent with IPE employment goal (MTAG). AND
2. Closure verification meets standards outlined in the Employment and Closure BR:
 - Verification includes wage AND
 - is in the form of paystubs, employer correspondence (email, fax, letter) OR
 - Completed IDVR Employment Verification Form OR
 - Self-employment documentation (sales/expenditure receipts) or other similar documentation
3. Wage verification information matches the data entered into Aware.

Use **N/A** when the counselor has case noted repeated unsuccessful attempts to obtain initial employment verification elements.

Use **NO** when the conditions of YES or N/A are not met.

Yes

No

N/A

Comment

* 28. Does the '**Start Date**' in **Aware** match the start date from employer verification documentation?

For **YES**:

- Employment Start Date in Aware matches the year and month of the employer verification documentation
 - Paystubs
 - Start date can be derived from paystub date range and approximated if no precise date is available (early date from first paystub date range is acceptable verification, but we need rough verification of start date) OR
 - Employer email, fax, letter OR
 - IDVR employment verification form
- Employment Start Date in Aware was entered in the absence of formal documentation because
 - Self-employment cases provided counselor with other evidence of earnings (receipts/expenditures/invoices)
 - Multiple attempts and/or employer refusal were documented in detailed case notes

Respond **NO** if :

- The start date does not match verification documentation OR
- Verification documentations do not exist AND no detailed case notes are present with a rationale as to the absence of said documentation

Yes

No

N/A

Comment

* 29. The case record contains **rationale documenting** the customer's sustained **employment stability** prior to successful closure.

For **YES** all the following must be met:

- Case record indicates customer and counselor agreement with performance
- Closure date is over 89 days from initial and most recent (where applicable) assessment of employment stability
- No services were provided/purchased in this period other than those to fulfill a one-time (not ongoing) unique (not anticipated to be needed again) need
- Case note indicates customer is performing at a level meeting the satisfaction of the employer
 - Can be customer or CRP report if employer was unwilling to communicate with VR
- Case record indicates ongoing counselor/customer contact leading up to a determination of initial stability and appropriate contact following this assessment (with frequency and intensity individualized to customer need) to arrive at an informed determination of sustained stability . (not sure, playing with this one)

Answer **NO** if any of the following conditions are true:

- The customer loses employment stability for any reason (personal, family, worksite, etc.) however the initial stable date was retained
- Closure date is less than 90 days from last determination of stability (automatic?)
- Counselor bases sustained stability on 90-days alone. (goes with the one above)
- Determination of stability is not accompanied by rationale.

Yes

No

N/A

Comment



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Closure

* 30. **Rationale for closure** and discussion/attempted contact between VRC and customer prior to case closure **documented in case record**:

For **YES** all the following conditions must be met:

- Closure rationale is present including an explanation of why case is being closed and why the particular closure reason was selected (appropriate closure reason documented).

Answer **NO** if any of the following are true:

- Wrong closure reason entered into Aware
 - Selection of closure reason not best aligned with closure narrative (a better option clearly exists)
- No closure narrative exists
- Other: Other not explained or a better closure reason exists (other should be used exceedingly rarely, and documented if it is)
- Case record contains no reference to contact or attempted contact ahead of closure. Attempted contact is of sufficient volume and over sufficient duration to ensure customer is non-responsive (rephrase as example)

YES

NO

N/A

Comment



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File Complete

31. Please add your overall case impressions (constructive feedback please).

