

### **3000 RECORD OF SERVICES CLOSURE**

**3001 Reasons for Closure.** Records of services will be closed when the individual has achieved an employment outcome in a competitive integrated setting; declines services or refuses to participate; is not available for services; has been determined ineligible; does not meet the order of selection priority; fails to cooperate; received services but has not achieved an employment outcome; or has completed post-employment services.

#### **3002 Participation of the Individual.**

A. *Individual responsibility.* The individual/client or, as appropriate, the individual's representative will be given the opportunity for full consultation in case closures unless the individual is not available for participation. It is the individual's responsibility to maintain regular contact with the counselor so appropriate planning and services can be determined. If the individual fails to maintain contact at least every 90 days, the case will be reviewed for closure.

B. *Counselor responsibility.* Counselors are required to maintain regular contact with clients at least every 60-90 days, according to policy. Prior to case closure, for any reason, for cases above status 10, the counselor will document at least two attempts to contact the applicant or, if appropriate, the applicant's representative to encourage participation in the closure decision. If the Counselor is unable to maintain 90-day contact, the client will receive a letter requesting contact be made within the next 30 days. If contact has not been made within that 30-day period, the client will receive a second letter indicating if they do not make contact within the next 14 days, the case will be closed. If the client fails to make contact within that 14-day period, the Counselor will proceed with case closure.

**3003 Required Documentation.** The Counselor will complete all required documentation in *Actions / Details*, *RSA Data at Closure*, and *Closure Notification*. In addition, the Counselor will forward a copy of the *Closure Notification* along with the *Rights and Responsibilities* and *Information and Referral Resource Form* to the client, in writing or by the preferred alternative mode of communication, notifying them of the case closure.

**3004 Closure Without Eligibility Determination (Status 08).** An applicant's record of services may be closed prior to eligibility determination if the applicant

declines to participate in or is unavailable to complete an assessment for determining eligibility and priority for service. Staff members must document in the *Action/Details* attempts to contact the applicant or, if appropriate, the applicant's representative to encourage participation in determining eligibility and must notify them prior to case closure.

**3005 Closure Related to Order of Selection (Status 38).** An individual's case will be closed in Status 38 to indicate that services will not be provided for whatever reason from Status 04 (*Section 2200 Order of Selection*).

**3006 Ineligibility Closure.** An individual's record of services will be closed if it is determined that the individual does not meet or no longer meets eligibility criteria (*Section 2500 Eligibility*). If the reason for ineligibility is that the applicant is unable to benefit from services due to the severity of the disability, results of a trial work experience and a Rehabilitation Technology consultation are required, showing clear and convincing evidence that the individual is incapable of benefiting from services in terms of an employment outcome in a competitive integrated setting. The record of services will include the following documentation related to the determination of eligibility:

- A. As appropriate, medical records or a statement from a medical professional supporting the existence or lack of a disability;
- B. As appropriate, documentation that the individual does not require services to prepare for, enter, engage in, or retain gainful employment;
- C. Information substantiating referral to other programs, if appropriate; and,
- D. Statements supporting the review of the ineligibility decision in accordance with *Section 2500 Eligibility*.

**3007 Rehabilitated Closure (Status 26).** The need for post-employment services will be reassessed prior to the determination that the individual has achieved a competitive integrated employment outcome. The individual's informed choice, intermediate objectives, and services on the IPE, should lead to an employment outcome that may be amended prior to completing the Status 22 Employment Verification Form.

**3007.1 Required Documentation.** The Rehabilitation Counselor will close an individual's record of services as "rehabilitated" when the individual:

- A. Was declared eligible for services;
- B. Received appropriate assessment and related services;
- C. Had a program for rehabilitation services formulated;
- D. Completed the program;
- E. Received vocational counseling and guidance;
- F. Has been determined to be suitably employed for a minimum of 90 days;
- G. Has received substantial services that contributed in an identifiably positive way toward achievement of an employment outcome;
- H. Is working at or above minimum wage or the standard wage for comparable jobs;
- I. Is receiving benefits comparable to those received by employees without disabilities in similar positions;
- J. The individual has the availability of opportunities for advancements like those of employees without disabilities in similar positions; and,
- K. The employment is in an integrated location.

**3007.2 Supported Employment.** In a supported employment case the Rehabilitation Counselor shall consider an individual to be successfully rehabilitated when:

- A. The individual meets the basic requirements for a successful (Status 26) closure as previously outlined in this paragraph;
- B. Placement is maintained for at least 90 days after making the transition to extended services; i.e., the ongoing support services being provided by

the extended supported employment services provider are adequate to meet the individual's needs with respect to maintaining the supported employment placement;

C. The individual is working the agreed upon work hours identified in the IPE;

D. The job is stable and is expected to continue; and,

E. The individual is paid the state or federal minimum wage, whichever is higher.

### **3008 Non- Employed Closure (Statuses 28 and 30)**

**3008.1 Closure After Eligibility Determined.** When, following certification of eligibility for rehabilitation services, it has been determined that a successful employment outcome cannot be achieved or that employment resulted without vocational rehabilitation services having contributed to that outcome, the record of services will be closed as “non-employed”

A. *Status 28 (Closed Other Reasons After IPE Initiated).* Cases closed into this category must meet criteria A, B, and C in paragraph 3006.1, with at least one of the services provided for by the *IPE* initiated, but for some reason, one or more of criteria D, E, F, and G in paragraph 3006.1 were not met. There is no movement from this status. Prior to closing a case in Status 28 for any reason other than death or institutionalization, the case must be staffed with the District's Placement Team to determine if all attempts have been exhausted to locate the client and to determine if there are any viable actions that may be taken to assist in a positive competitive integrated employment outcome.

B. *Status 30 (Closed Other Reasons Before IPE Initiated).* Cases placed into Status 30 are those that, although accepted for vocational rehabilitation services did not progress to the point that services were initiated under an IPE. Staff members must document in the *Action/Details* attempts to contact the client or, if appropriate, the client's representative to encourage participation in developing the IPE and must notify them prior to case closure. There is no movement from this status

### **3009 Record of Services Closure for Post-Employment Services (Statuses 46, 48, and 50)**

**3009.1 Determination.** The decision to terminate post-employment services will be made on an individual basis in consultation with the client. Factors to be considered in closing a post-employment record of services include the following:

A. *Status 46 (Post-Employment Services Terminated with Employment Maintained).* This status denotes that post-employment services have been terminated because the services were successful in assisting the individual in maintaining employment in a competitive integrated setting. There is no movement from this status.

B. *Status 48 (Post-Employment Services Terminated with Employment Not Maintained).* This status denotes that the post-employment services have been terminated and these services were not successful in assisting the individual in maintaining employment in a competitive integrated setting. There is no movement from this status.

C. *Status 50 (Post-Employment Services Terminated with Case Reopened).* This status denotes that the post-employment services have been terminated and these services were not successful in assisting the individual in maintaining employment in a competitive integrated setting and a new case will be opened. The case will be reopened whenever a new disabling condition or vocational situation not related to the original rehabilitation effort emerges while the case is in Status 32 and the condition or situation is seen to require a complex or comprehensive rehabilitation effort. If the individual elects to do so, a new application will be taken, and a new determination of eligibility will be made.

#### **3009.2 Successful Outcome**

A. Satisfactory solution to the precipitating problem requiring post-employment services;

B. Attainment of sufficient independence to function without continuing post-employment services, or a Rehabilitation Counselor's professional judgment to discontinue services; and,

C. Employment continues at a suitable level in relation to the individual's skills and the locality and labor market or can be realized by the individual's own initiative.

**3009.3 Unsuccessful Outcome.** The individual's condition or situation suggests that post-employment services cannot maintain the individual's employment. Consideration should be given to reopening the record of services for rehabilitation or referral to community providers for services to address the issues impeding performance in employment.

**3009.4 Required Documentation.** The record of services will include:

- A. Documentation reflecting the participation of the individual in the development of the amendment for post-employment services and in the closure decision;
- B. Documentation of the reason for closure; and,
- C. Completion of appropriate coding as required.

### **3010 Annual Review of Extended Employment**

**3010.1 Timeline and Content of Review.** After an individual's record of services is closed in extended employment, the Rehabilitation Counselor must conduct an annual review for two years (and thereafter if requested by the individual or, if appropriate, the individual's representative) to reevaluate the status of each individual regarding his/her interests, priorities, and needs with respect to competitive employment or training for competitive employment. Documentation of the review results will include:

- A. Results of the Rehabilitation Counselor's efforts to assist the individual in engaging in competitive employment, including identifying and providing vocational rehabilitation services, reasonable accommodations, and other necessary support services; and,
- B. A signed statement from the individual, or as appropriate, the individual's representative, acknowledging that the review and reevaluation have been conducted with input from the individual.

**3010.2 Review Procedure.** A list of the names of individuals who have been closed in extended employment and who are scheduled for review will be computer generated and forwarded to the Rehabilitation Counselor prior to the annual review date.

**3011 Reopening Closed Records of Services.** The record will be reopened as a new referral and an assessment for determining eligibility and priority of services will be completed when an individual whose record of services was closed needs comprehensive services. It is not necessary to re-determine eligibility when post-employment services are needed to assist an individual whose record of services has been closed in Status 26 to maintain employment.

**3012 Post-exit Data Requirements.** The Workforce Innovation and Opportunity Act (WIOA) requires states to collect post-exit data for individuals who have exited the VR program for the purposes of documenting and reporting employment and/or education information. Post-exit data collection improves the Divisions ability to track and record our clients' education/training and employment outcomes, as well as, assists the Division to meet federal requirements and determine the agency's performance on key measures. The Division receives "credit" for these measures based on information collected and input into the intranet Electronic Case Management (iECM) by Division staff and from other sources, e.g., Unemployment Insurance wage information. The post-exit data information is sent in a report to the federal Rehabilitation Services Administration (RSA) each quarter and must be verifiable with accurate documentation in iECM and the case folder, as appropriate. Managers and counselors need to understand the significance of the post-exit data requirements and how appropriate supporting documentation, data entry into iECM, and quarterly reporting of the data affects the tracking of our client's successes and the Divisions performance measures.

A. There are two types of post-exit data: employment and education. Depending on the client's school status during VR program participation (participation = receiving services under an IPE) and at the time of case closure (exit), different data elements may be required. A counselor will need to continually review his or her list of clients who have exited the VR program to ensure that collection of post-exit data is occurring properly.

B. For **all** Status 26 and 28 closures, the Division needs to report

employment information for the second and fourth quarters after the client's case was closed.

C. For clients who attain a high school diploma (or equivalency)

during VR program participation or within one year of case closure AND become employed OR enroll in a post-secondary education or training program then the Division can receive credit.

D. For clients who were enrolled in a post-secondary

education/training program that leads to a recognized credential and had not graduated/completed at the time of case closure, the Division can receive credit if they graduate/complete the program *within one year of case closure*.

**3013 Post-Exit Data Collection Procedures.** iECM will use information from the case (especially the School page) to identify which post-exit data elements are required for each case closed in Status 26 or 28. Each case will have “post-exit” links at the bottom of the left-side navigation bar in iECM. There is one link for Education and one link for Employment. A link for post-closure comments is also available for documentation and other information. When clicking on the Education or Employment links within a case, *only the necessary questions and information fields will be displayed*.

**3013.1 Post-exit EDUCATION Data Elements.** This is a list of all post-exit education data elements. **(NOTE: these are only for Status 26 and 28 closures; some or all these data elements may not apply to every case):**

A. Date of enrollment in post-exit education or training program leading to a recognized postsecondary credential.

1. Record the date the individual enrolled in an education or training program that leads to a recognized postsecondary credential after program exit.

2. This element only applies to former DRS clients who exited secondary school and obtained a high school diploma (or its equivalent) during their VR participation or within one-year of exit.

3. Once this information has been collected, documented with



West Virginia Division of Rehabilitation Services  
**Client Services Manual**

appropriate supporting documentation, and reported to RSA, it is no longer necessary to collect this information for this client.

B. Date attained post-exit recognized credential.

1. Record the post-exit date on which the individual attained a recognized credential (the attainment date must be within one year of case closure).

2. Once this information has been collected, documented with appropriate supporting documentation, and reported to RSA, it is no longer necessary to collect this information for this client.

C. Type of recognized credential attained post-exit. Select the type of recognized diploma, degree, or credential from the dropdown menu in iECM.

1. Secondary diploma or equivalency
2. Associate degree
3. Bachelor's degree
4. Graduate degree
5. Occupational license
6. Occupational certificate
7. Occupational certification
8. Other recognized diploma, degree, or certificate

D. Select the appropriate type of credential to record the type of recognized diploma, degree, or credential consisting of an industry-recognized certificate or certification, a certification of completion of a Registered Apprenticeship, a license recognized by the State involved or Federal Government, or an Associate's, Bachelor's, or Master's Degree attained by the participant who received education or training services.

1. Certificates are defined as a mastery of learning outcome that

is generally awarded following a course of study.

2. Certifications are defined as the validation of an individual competency in a specific subject because of going through a process that demonstrates competency, such as a test.

E. For all types other than Secondary diploma or equivalency, once this information has been collected, documented with appropriate supporting documentation, and reported to RSA, it is no longer necessary to collect this information for this client.

F. For Secondary diploma or equivalency, employment and/or post secondary enrollment information must also be collected for up to one-year post-exit to gain credit for credential attainment.

**3013.2 Post-exit EMPLOYMENT Data Elements.** This is a list of all post-exit employment data elements. **(NOTE: these are only for Status 26 and 28 closures; *some or all these data elements may not apply to every case*):**

A. **Employment First Quarter After Exit.** The employment data for the first completed quarter after exit is **ONLY** required when necessary to document credential measure attainment for students who attained a secondary education credential. The collection of first quarter after exit employment and wage information is integral in the calculation of a credential rate component. Specifically, the number of participants who exited that were in a secondary education program and who obtained a secondary school diploma or its equivalent during the program or within one year after exit **AND** who were also employed or enrolled in an education or training program leading to a recognized postsecondary credential within one year after exit. The following employment information is needed:

1. Was the client employed during the first quarter after case closure? If so, select the appropriate response from the dropdown menu in iECM on the post-exit employment page.

2. If the client was employed, document hourly wage, hours

worked per week and weeks worked during the quarter. iECM will default to 13 weeks equals a whole quarter worked. If the client did not work the whole quarter the counselor will need to input how many weeks were worked.

3. In the *Post-Exit Details* please document how and when this information was collected, and any additional information or comments that should be documented.

**B. Employment Second Quarter After Exit.** Unlike the first quarter after exit data elements that are applicable only to those clients who were enrolled and/or completed high school (or equivalent) during program participation, second and fourth quarter after exit employment data elements are applicable to **all** Status 26 and 28 closures. Through wage information provided by WorkForce WV, DRS can collect and report this wage information for most clients who are employed. However, not all wage information is available to DRS and therefore, some clients may need to be contacted directly to get the needed employment information. For example, any case closed as self-employed, federally employed (including military), or employed outside of the State of West Virginia will need to be contacted directly by staff. The following employment information is needed:

1. Was the client employed during the second quarter after case closure? If so, select the appropriate response from the dropdown menu in iECM on the post-exit employment page.

2. If the client was employed, document hourly wage, hours worked per week, weeks worked during the quarter iECM will default to 13 weeks equals a whole quarter worked. If the client did not work the whole quarter the counselor will need to input how many weeks were worked.

3. Employment related to training:

a. iECM will alert the counselor/user if the client had received training (12 services categories determined by RSA)

b. Did the client obtain employment *directly related* to the training services received? (select yes or no from the dropdown menu in iECM)

4. In the *Post-Exit Details* please document how and when this information was collected, and any additional information or comments that should be documented.

C. Employment Third Quarter After Exit. The rules for the first quarter after exit apply to the third quarter after exit. The following employment information is needed:

1. Was the client employed during the first quarter after case closure? If so, select the appropriate response from the dropdown menu in iECM on the post-exit employment page

2. If the client was employed, document hourly wage, hours worked per week, weeks worked during the quarter. iECM will default to 13 weeks equals a whole quarter worked. If the client did not work the whole quarter the counselor will need to input how many weeks were worked.

3. In the *Post-Exit Details* please document how and when this information was collected, and any additional information or comments that should be documented.

D. Employment fourth quarter after exit. The rules for the second quarter after exit apply to the fourth quarter after exit. However, some of the needed information changes for the fourth quarter. The following employment information is needed:

1. Was the client employed during the fourth quarter after case closure? If so, select the appropriate response from the dropdown menu in iECM on the post-exit employment page.

2. If the client was employed, document hourly wage, hours worked per week, weeks worked during the quarter. iECM will default to 13 weeks equals a whole quarter worked. If the client did not work the whole quarter the counselor will need to input how many weeks were worked.

3. Retention with the same employer in the second and fourth quarter after exit. If so, was the client employed by the same employer during both the second and fourth quarter after exit (select yes or no from dropdown menu)?

West Virginia Division of Rehabilitation Services  
**Client Services Manual**

4. In the *Post-Exit Details* please document how and when this information was collected, and any additional information or comments that should be documented.