

Rehabilitation Administrative Manual
RECORD OF SERVICES

Chapter 30

Exhibit A

Required Documentation in the Record of Services

(Revised 08/21)

- Attachment A—Documentation in Aware Data Pages
- Attachment B—Documentation Required in Aware Case Notes
- Attachment C—Documentation Required in the Record of Services
- Attachment D—Supporting Documentation for Common Performance Measures Required in the Record of Services

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

To support transition to a fully electronic record of services, DOR staff are encouraged to scan documentation into Aware and/or attach documentation to a case note in lieu of maintenance in a hardcopy record of services.

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, as appropriate.
- 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 more information on attaching documentation in Aware.

Refer to [Rehabilitation Administrative Manual \(RAM\) Section 3001](#) for

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general requirements pertaining to the content of the record of services.

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

Attachment A—Documentation in Aware Data Pages

The DOR shall use the following Aware Data Pages, as appropriate to the individual record of services:

1. Application

- Personal Information
- Personal Contacts Layout
- New Personal Contact
- Application
- Work History Layout
- New Work History
- Education
- Educational Goal Layout
- New Educational Goal
- Measurable Skill Gain Layout
- Eye Medical Exam Layout
- New Eye Medical Exam
- Disability Layout
- New Disability
- Special Programs
- Application Documentation
- Characteristics at Plan
- Transportation Information

2. Eligibility

- Disability Priority
- Eligibility Determination
- Eligibility Determination Ext.

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- Trial Work Layout
- New Trial Work
- Ticket to Work

3. Service and Employment

- Plan Layout
- New Plan
- Plan Development Extension Layout
- New Plan Development Extension
- Plan Review Layout
- New Plan Review
- Service Interrupted Layout
- 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 Authorization Check
- Closure
- PES Plan Layout
- New PES Plan
- Follow-up Layout

5. Financial

- Authorization Layout
- New Authorization
- Payment Layout

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6. Other

- Case Notes Layout
- New Case Note
- Attached Files Layout
- Attachment Layout
- New Attachment
- Wage Layout
- New Wage
- Activity Due Layout
- New Activity Due
- Actual Service Layout
- New Actual Service
- Case Event History
- Case Management
- Quick View
- Guest Access Layout
- New Guest Access
- Case Access Exception Layout
- Help Desk Personal
- Help Desk Case

Attachment B—Documentation Required in Aware Case Notes

DOR 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 individual's record of services must be copied into an Aware case note or uploaded as an attachment.

DOR 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

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choice, vocational exploration, and related activities

- Delayed Status (30-day and 60-day) Contacts
- Eligibility Determination
- Eligibility Determination Extension (to include exceptional and unforeseen circumstances beyond the control of DOR)
- 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 VR team members, including those providing DOR Student Services, as well as the Regional Director, 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.

Attachment C—Documentation Required in the Record of Services

To support transition to a fully electronic record of services, DOR staff are encouraged to scan required documentation into Aware and/or attach documentation to a case note in lieu of maintenance in a hardcopy record of services.

The VR teams, including those providing DOR Student Services will ensure that the following documents are included in the record of services, as appropriate to the individual:

- DR 210 Enrollment for Vocational Rehabilitation Services
- DR 222 Application for Vocational Rehabilitation Services
- Common intake application form from a One-Stop Center requesting

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VR services

- Other request for DOR services

Regardless of type of application or enrollment form provided by the applicant, the form must be signed by the individual. An applicant's signature may be obtained on a hard copy form or through an electronic signature process.

The Rehabilitation Counselor may create one or more of the following documents in Aware as part of non-delegable functions and will ensure the signed versions are included in the Aware record of services, if signatures are required:

- DR 211 Eligibility Determination Extension
- DR 212 Notice of Eligibility and Priority for Services
- DR 213 DR 213 – Trial Work Experiences Plan
- DR 214A Plan Development Extension
- DR 215 Individualized Plan for Employment
- DR 215A Plan Amendment
- DR 216 Plan Review
- DR 217 Plan Services Interrupted
- DR 229A Closure Report – Rehabilitated
- DR 229B Closure Report – Other Than Rehabilitated
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Other documentation that may be required in the record of services, if applicable to the individual record of services, including, but not limited to, the following (organized by type of documentation):

Medical documentation

- DR 218 Health Questionnaire.
- DR 223 General Medical Exam.
- DR 223C Report of Optometric Examination.
- DR 224A Medical Exam – Call.

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- 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.
- Medical records/reports.

Education-related documentation

- FAFSA (Free Application for Federal Student Aid)
- Financial aid award / denial letter
- Grade transcripts
- Books/supplies lists
- Agency and School Progress Reports

Social Security beneficiary status documentation

- Contact with the Social Security Administration (SSA) or Maximus to verify status.
- Written verification of beneficiary status, including SSA award / benefit letters.

Work Incentives Planning Services documentation

- Information Gathering Form
- Benefits Planning Query (BPQY) Report
- Signed release forms
- Benefits verification documents
- Letters and other correspondence

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- Benefits Summary and Analysis
- Work Incentives Plan
- Other deliverables, including calculation and tracking sheets
- Referral forms
- Email communication
- Other Work Incentives Planning Services-specific forms

Additional DOR forms and other documentation may include but are not limited to the following:

- DR 10 LEAP Certification
- DR 107 Request for Mediation and/or Fair Hearing
- DR 108 Authorized Representative
- 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 260 Consent to Release and Obtain 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
- Letters from agency staff to consumers
- Letters from consumers
- Significant email communications
- Bank draft receipts, including receipts for books and supplies, if applicable
- Bid documentation, if applicable

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Attachment D—Supporting Documentation for Common Performance Measures Required in the Record of Services

The Rehabilitation Counselor or designated district staff will ensure that supporting documentation is included in the record of services to meet documentation requirements related to the WIOA Common Performance Measures. The five WIOA Common Performance Measures requiring supporting documentation in the record of services include the following:

1. Percentage of program participants who are in unsubsidized employment during the second quarter after exit from the program.
2. Percentage of program participants who are in unsubsidized employment during the fourth quarter after exit from the program.
3. Median earnings of program participants who are in unsubsidized employment during the second quarter after exit from the program.
4. The percentage of program participants who obtain a recognized postsecondary credential, or a secondary school diploma or its recognized equivalent – during participation in the VR program or within 1 year after exit from the program.
5. The percentage of program participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving measurable skill gains toward such a credential or employment.

Employment Rate and Median Earnings

The first three WIOA Performance Measures assess the effectiveness of State VR Agencies based on participants' employment rates and median earnings after exit.

There are two types of wages reported to RSA:

- Wages reported to Employment Development Department (EDD).
- Wages not reported to EDD.

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Post-Exit Employment data, including wages, are obtained quarterly from the EDD for most participants. Any data obtained from EDD through the sharing agreement is considered as 'supporting documentation' and does not require additional manual input by the VR team.

EDD wage data does not, however, include information for individuals who are self-employed, employed out-of-state, employed by the federal agency, or who decline to provide a social security number. This is considered 'supplemental wage information.'

DOR is required to report supplemental wage information in its quarterly RSA-911 Reports, as part of the Common Performance Measures.

All employment, including post-exit employment data and wages, and EDD data extracts, is recording and viewable in Aware through the Wages page.

Supplemental wage information must be manually recording using the Wages page in the participants record of services, directly in the Participant Module.

Refer to the [Aware Reference Guide, Section 6.1 – Closure – Required Documentation and Approval](#), for more information on entering wage information.

Credential Attainment

WIOA Performance Measure #4 requires collecting and documenting credential attainment for consumers enrolled in education and training programs. Credential Attainment is the percentage of those participants enrolled in an education or training program who attained a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within one year after exit from the program.

Participants who obtain a secondary school diploma or its recognized equivalent must also meet an additional condition before they are counted as a successful outcome and included in the numerator of the credential attainment indicator. These participants must be employed or enrolled in an education or training program leading to a recognized postsecondary credential within one year following exit.

The following are acceptable types of credentials, which count toward the

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credential attainment indicator:

- Secondary School diploma or recognized equivalent
- Associate's degree
- Bachelor's degree
- Graduate degree for purposes of the VR program
- Occupational licensure
- Occupational certificate, including Registered Apprenticeship and Career and Technical Education educational certificates
- Occupational certification
- State/Federal-recognized licensure
- Other recognized certificates of industry/occupational skills completion sufficient to qualify for entry-level or advancement in employment

The following are not credentials for purposes of the credential attainment indicator:

- Work readiness certificate
- Workforce development board certificates
- Health/Safety certificates

Measurable Skill Gains

WIOA Performance Measure #5 requires reporting of measurable skill gains (MSG) for participants enrolled in education and training programs.

DOR reports on the percentage of participants who, during a program year, are in an education or training program that leads to a recognized postsecondary credential or employment and who are achieving documented academic, technical, occupational, or other forms of progress, towards such a credential or employment.

Five measures of documented progress that specify a skill gain:

- Documented Educational functioning level (EFL) increase (below postsecondary)
- Documented attainment of secondary school diploma or its recognized equivalent
- Secondary or postsecondary transcript/report card showing credits

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attained

- Satisfactory or better progress report toward established milestone (e.g., OJT)
- Successful passage of a required exam (e.g., occupational, knowledge-based)

MSGs are recorded in Aware on the Educational Goal page in the Participant Module. The 'Measurable Skill Gains' field is designed to record MSG at the time they are gained, not just when the educational program is completed.

The RSA-911 will only record MSG is the Skill Gain Date or Education Goal Actual End Date (Completed) is within the reporting period for that program year (July 1 – June 30).

Supporting documentation include but are not limited to:

- Transcripts
- Report Cards
- Certifications
- Pre- vs Post-Test Scores
- Progress Report
- Knowledge-Based Exams

Depending upon the type of education or training program, documented progress is defined as one of the following five types of measurable skill gains:

1. Educational Functioning Level (EFL).

The term means the *documented achievement* of at least one Educational Functioning Level (EFL) for individuals receiving instruction below the postsecondary education level. The EFL gain may be measured in one of three ways:

- a. Comparing pre- vs. post-test scores, using a National Reporting System approved test to compare initial and current EFL. The same test and version must be used for both the pre-and post-test. The current list of tests determined suitable for the National Reporting System is available at: Federal Register Online-Government Publishing Office.
- b. Through the awarding of credits or Carnegie units in an adult high school program toward a secondary school diploma or the

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equivalent, such as a General Education Development (GED) certification.

- c. Enrollment in postsecondary education or training during the first program year after exit from the VR program.

2. Secondary School Diploma/Equivalent.

This term refers to the *documented attainment* of a secondary school diploma or its recognized equivalent. The diploma or recognized equivalent may be verified by:

- a. Review and obtain copies of the individual's transcript or report card for secondary education to verify diploma achieved.
- b. Review and obtain copies of the individual's diploma or GED certificate.

3. Postsecondary School Transcript / Report Card.

Verification of completed units on a secondary or postsecondary transcript or report card for a sufficient number of credit hours that shows a participant is meeting the DOR academic standards. The transcript or report card must indicate that the individual:

- a. Completed of a minimum of 12 hours per semester.
- b. Or for part-time students, completed of a total of at least 12 credit hours over the course of two completed semesters during the same 12-month period.

4. Training Milestone.

This term refers to the *documented achievement* of a satisfactory or better progress report, toward established milestones from an employer or training provider who is providing training. This may include, but is not limited to, progress toward completion of the following:

- a. On-the-job training (OJT).
- b. One year of a registered apprenticeship program.

5. Skills Progression.

Skills progression means *verification* that the individual successfully completed and passed an exam that is required for a particular occupation or made progress in attaining technical or occupational skills as evidenced by trade-related benchmarks such as knowledge-based exams.

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For more information, refer to [Aware v.6.5 Training Materials](#), and the “Measurable Skill Gains: How to Document in Aware” handout posted on the WIOA Toolbox page on the DOR intranet.