

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
REHABILITATION SERVICES ADMINISTRATION

Guidelines: Supporting Documentation for  
Case Service Report (RSA-911)

March 31, 2017

The purpose of these guidelines is to assist VR agencies in maintaining appropriate supporting documentation in individual service records that verify the validity of the required data elements in the Case Service Report (RSA-911). By maintaining appropriate supporting documentation, State Vocational Rehabilitation (VR) agencies will be able to ensure compliance with 34 CFR 361.12, which requires VR agencies to implement policies and procedures that ensure the proper and efficient administration of the VR program. These methods must include procedures to ensure accurate data collection and financial accountability, which include adequate source documentation for data reported through the RSA-911.

The examples of supporting documentation in these guidelines illustrate the types of documents the Rehabilitation Services Administration (RSA) would consider to demonstrate the validity and accuracy of certain key data reported through the RSA-911. This is not an exhaustive list, and there may be other documents that RSA would find as sufficient support to verify the data.

The particular data elements identified in these guidelines are those that State auditors will use when reviewing service records during the course of conducting A-133 audits, and RSA staff will review during the course of monitoring the VR program in Federal fiscal year (FFY) 2017. It is important to note that these guidelines pertain only to the supporting documentation that should be maintained by the grantee to ensure the validity of certain key data elements required by the RSA-911, not all supporting documentation that is required by section 116 of the Workforce Innovation and Opportunity Act in each individual service record. Maintaining a record of services for each applicant and eligible individual is required under 34 CFR 361.47. The data elements and recommended supporting documentation described in these guidelines are those that will be critical for calculating levels of performance under the performance accountability system required of all core programs of the one-stop service delivery system, including the VR program.

<b>Data Element Name and Number</b>	<b>Definition</b>	<b>Examples of Supporting Documentation</b>
Date of Application (7)	§361.41(b)(2)  The Date of Application is the date on which the VR agency received a completed and signed application form for VR services from the applicant.	<ul style="list-style-type: none"> <li>• The application received via mail with the date received by the VR agency stamped on it.</li> <li>• The intake form completed at the one stop.</li> <li>• The electronic submission of the application.</li> </ul>
Date of eligibility determination (38)	§361.41(b)(1) and §361.47(a)(1)  The Date of Eligibility Determination is the date on which the eligibility determination form was completed and signed by a qualified VR counselor employed by the agency.	<ul style="list-style-type: none"> <li>• A copy of the eligibility determination letter sent to the individual.</li> <li>• Functional limitation worksheet.</li> </ul>
Date of IPE (49)	§361.47(a)(6)  The individualized plan for employment (IPE) is effective on the date on which both the VR counselor and individual reach agreement, as indicated by the signatures and dates on the IPE. If the two signatures bear different dates, the later date should be considered the effective date of the IPE.	<ul style="list-style-type: none"> <li>• A copy of the signed IPE.</li> </ul>
Start Date of Employment in Primary Occupation (195)  Employment Status at Closure (196)	§361.56  The Start Date of Employment in Primary Occupation is the date when the individual began the job coded in data element Primary Occupation at Employment (194).  Employment Status at Closure describes the employment outcome that the individual had achieved when the case service record was closed.	<ul style="list-style-type: none"> <li>• Pay stub identifying the individual's start date.</li> <li>• Detailed case notes signed by the counselor in the case service record, including the date employment start date verification was received and justification for individual not providing formal documentation.</li> <li>• Automated database systems indicating the individual's start date.</li> <li>• Self-employment worksheets</li> </ul>

		<p>indicating the individual's start date.</p> <ul style="list-style-type: none"> <li>• Verification received from employer (as appropriate) documented the employment start date in case service record, including date of verification or copy of email, fax, or letter.</li> </ul>
<p>Weekly Earnings at Employment-Element Number (197)</p>	<p>§361.47(a)(9) and §361.5(c)(9)(i)</p> <p>Weekly Earnings at Employment is the amount of money (to the nearest dollar) the individual earned in a typical week after achieving an employment outcome consistent with the employment goal on an individual's IPE at the time the service record was closed and includes all income from wages, salaries, tips, and commissions received as income before payroll deductions of Federal, State, and local income taxes and Social Security payroll tax. Earnings also include profits derived from self-employed individuals. Earnings for salespersons, consultants, self-employed individuals, and other similar occupations are based on the adjusted gross income.</p> <p>The documentation must include the individual's hourly wage rate, or average hourly rate if compensated through commission, along with the minimum wage rate for the location where the individual is employed at (Federal, State, or local, whichever is higher).</p>	<ul style="list-style-type: none"> <li>• Unemployment Insurance (UI) wage match, Federal employment records, or military employment records that verify the hourly wage rate (not aggregated for the quarter).</li> <li>• Pay stub identifying the individual's hourly wage rate or annual salary.</li> <li>• Income earned from commission in sales or other similar positions.</li> <li>• Detailed case notes signed by the counselor in the case service record, including the date verification was received and justification for individual not providing formal documentation.</li> <li>• Automated database systems;</li> <li>• One-stop operating systems' administrative records, such as current records of eligibility for programs with income-based eligibility (e.g., TANF or SNAP).</li> <li>• Self-employment worksheets;</li> <li>• Verification received from employer (as appropriate) documented in case service record, including date of verification or copy of email, fax, or letter.</li> </ul>

Type of Closure (213)	<p>§361.47(a)(14) and §361.47(a)(15)</p> <p>The Type of Closure is a description of the individual's status in the program at the time of case closure.</p>	<ul style="list-style-type: none"> <li>• Copy of the letter sent to the individual indicating that the case was closed.</li> <li>• Employment and wage documentation.</li> <li>• Case notes.</li> </ul>
Date of Closure (215)	<p>§361.47(a)(14) and §361.47(a)(15)</p> <p>The Date of Closure is the date that the individual exited from the VR or Supported Employment program consistent with the requirements in the regulations.</p>	<ul style="list-style-type: none"> <li>• Copy of the letter sent to the individual indicating that the case was closed.</li> </ul>