

Rehabilitation Services Policy Manual

SECTION Pre-Employment Transition Services (Pre-ETS)
PART Case File Documentation and Narrative

SECTION NO. 7-8
PUBLISHED 03/21

Section 7 Pre-Employment Transition Services (Pre-ETS)

Part 8 Case File Documentation and Narrative

Documentation is intended to meet, but not exceed, the federal requirements for records of service. Pre-ETS staff will exercise professional judgment and discretion in determining the nature, scope and extent of relevant information to be included in the record. Information should be limited to that which is necessary and sufficient to show the basis and justification for determination decisions, service decisions and the expenditure of public funds.

The Pre-ETS Plan should be written with sufficient detail to avoid any misunderstanding about services and responsibilities.

Duplicate and extraneous materials do not need to be kept in the record. Documentation of a decision should be sufficient to show that the decision is reasonable, based on adequate fact and information, correctly applies policy, and that the student participated in the decision.

Generally, narratives should address:

- What occurred: (decision made, student reported progress, student progress and outcomes during the session, discussions of required services, information requested, etc.)
- An explanation of what occurred, if needed.
- A description of the student's involvement in what occurred.
- A brief notation of the next step.

Narratives are necessary only for information that cannot be found in other records.

Documentation guide

When viewed as a whole, the case file (record of services) should reflect:

- The quality and substantiality of the services provided by Pre-ETS.
- Evidence of the student's full involvement and participation in the available services.
- Maintenance of appropriate and timely contact with the student, with no undue or unwarranted delays.
- Timeliness of services provided with no undue or unwarranted delays. The case file should show evidence that Pre-ETS Staff responded to students in a timely way.
- That the overall case shows an emphasis on helping the student gain employment skills.

Narratives are necessary for information that cannot be found or not clearly shown in other records. Narratives are essential to recording the Pre-ETS Transition Specialist rationale for actions taken. Generally, narratives should address: what occurred; the student's involvement; decisions made; student progress/outcomes; information requested; each student contact; attempted student contacts; other party contacts, such as guardians, agencies, providers, employers; and suggested next steps. Narrative entries should be dated and include the Pre-ETS Transition Specialist's initials. If other staff add to the narrative, they should sign their full names.

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Care should be taken to assure that other student names aren't inadvertently placed in a service record. For example, if multiple student names appear on an e-mail message to be filed in the service record, black out all names/information that do not relate to the specific student.

Progress notes from vendors (contractors/service providers) need to clearly identify the vendor as the source.

Any letters or documents that are mailed need to have a date mailed noted on the document that was mailed to the student, parent, school, provider, etc. The case file narrative also needs to record the letter or document being sent and the date.

All narratives must be maintained on the regional shared drive.

Case file organization

The information filed in the service record should be organized as follows:

Left section:

- Referral
- Signed and date stamped Request for Services
- Signed and dated Pre-ETS Plan and Pre-ETS Plan reviews
- Determination
- Documentation verifying student meets the criteria for participation in Pre-ETS
- IEP, Section 504 Plan, other disability documentation, SSI/SSDI eligibility verification

Right section:

- Student history (KMIS printout)
- Closure letter
- KMIS printout of closure screens (after implementation of revised screens)
- Case narrative
- Required Services (KMIS printouts)
- Initial Interview
- Service provider reports
- Correspondence, such as referral letters and authorization cover letters
- Release of information forms
- Authorization and payment records
- Equipment Loan reports

Pre-ETS Transition Specialists have the flexibility to divide each section described above into two parts for ease of handling of lengthy case files.

Information in the case file should be in chronological order, with the most recent information on top.

Every effort should be taken to keep the file folder free of duplicate and unnecessary information.

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Frequency of Contact

Frequency of contact should be determined by the individual circumstances; however, at least monthly contact is required and must be documented in the narratives. Examples of a form of contact would be phone call to the student, email to the student (if appropriate), and/or face-to-face meeting with the student. The form of contact should be based on the student's preference of contact. The Transition Specialist is to provide services face-to-face to the student at least every other month to continue to make progress learning and developing the pre-employment skills through the required services. If services are interrupted or there is a loss of contact, the reasons must be entered in the case narrative. The narratives should also reflect what efforts being taken to resume services.

Progress notes

Documentation must include identification of student's progress, and interventions or action plans used to address issues or concerns, if any. Progress notes may be found in Pre-ETS Transition Specialist narratives or in reports from service providers.

Records retention

Service records will be retained for five years after the closure of the case.

At each calendar year, the Administration Office will send the Field Office Records Retention Officers a list of cases closed during that period. These lists should be retained for future reference in determining which files can be destroyed.

At the end of each calendar year, the Field Office Records Retention Officers should prepare a list of records they intend to destroy. This list will be sent to the RS Administration Retention Officer for approval prior to destroying any records.

Specific guidelines for entering Pre-ETS activities/contacts in KMIS

The Pre-ETS Transition Specialists will enter into Pre-ETS KMIS the following information for each required service they make with each student. The Pre-ETS Transition Specialist will also be required to have a more detailed narrative in their case notes of each contact and required service with the student maintained on regional R drive. The narratives must be entered into KMIS and regional R drive as soon as possible, but no later than 15 calendar days.

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Job exploration counseling Service Code: 450	Instruction	Examples
Date	This is the date the service was provided.	05/12/2017
Group/Individual	Did this occur in a group or individual setting?	This was completed individually. This was completed in a group setting.
Activities	What was provided to the student?	Reviewed Kansas Career Navigator with student, researched CNA requirements, completed my next move interest inventory
Provider	This is who provided the service.	Pre-ETS Transition Specialist, workforce center, CIL
Activity location	Where did the activity take place?	DCF office, Ellis High School, Public Library
Progress	The progress that the student has made. This reflect and discuss the pre-assessment competencies.	The student has decided they are interested in being a certified nursing assistant. The student has met all the competencies in job exploration.
Next Steps	The next steps that Pre-ETS and student will be making.	Pre-ETS has scheduled a meeting for 6/12/2017 to work on training programs for CNA in post-secondary required service.

Instruction on Self-Advocacy Service Code: 451	Instruction	Examples
Date	This is the date the service was provided.	05/12/2017
Group/Individual	Did this occur in a group or individual setting?	This was completed individually. This was completed in a group setting.
Activities	What was provided to the student?	The student received self-advocacy from provider agreement. The Pre-ETS staff used the soaring materials from unit 1.
Provider	This is who provided the service.	Pre-ETS Transition Specialist, workforce center, CIL
Activity location	Where did the activity take place?	DCF office, Ellis High School, Public Library, CIL
Progress	The progress that the student has made. This reflect and discuss the pre-post assessment competencies.	The student understands their disability and can clearly describe to others. The student has improved his level of proficiency to very good.
Next Steps	The next steps that Pre-ETS and student will be making.	Pre-ETS has scheduled a meeting for 6/12/2017 to continue to work on self-advocacy competency describing necessary accommodations for completing tasks.

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Workplace readiness training Service Code: 452	Instruction	Examples
Date	This is the date the service was provided.	05/12/2017
Group/Individual	Did this occur in a group or individual setting?	This was completed individually. This was completed in a group setting.
Activities	What was provided to the student?	The student attended a class through provider agreement for job preparation. The Pre-ETS Transition Specialist presented materials from unit 2 working on communication with employers.
Provider	This is who provided the service.	Pre-ETS Transition Specialist, workforce center, CIL
Activity location	Where did the activity take place?	DCF office, Ellis High School, Public Library, CIL, Workforce Center
Progress	The progress that the student has made. This reflect and discuss the pre-post assessment competencies.	The student has learned how to communicate with co-workers & supervisors. The student understands time management skills to how up to work on time. The student has improved his level of proficiency to very good on both competencies.
Next Steps	The next steps that Pre-ETS and student will be making.	Pre-ETS has scheduled a meeting for 6/12/2017 to continue to work on work-readiness skills.

Counseling on opportunities for enrollment in comprehensive transition or postsecondary education programs Service Code: 453	Instruction	Examples
Date	This is the date the service was provided.	05/12/2017
Group/Individual	Did this occur in a group or individual setting?	This was completed individually. This was completed in a group setting.
Activities	What was provided to the student?	The Pre-ETS staff discussed and connected them to the disability access office through the college campus. The Pre-ETS Transition Specialist and student discussed accommodations he/she would need in college.
Provider	This is who provided the service.	Pre-ETS Transition Specialist
Activity location	Where did the activity take place?	DCF office, Ellis High School, Public Library, CIL, Workforce Center
Progress	The progress that the student has made. This reflect and discuss the pre-post assessment competencies.	The student understands where to access disability services through the college. The student understands what accommodations they need for college. The student has improved his level of proficiency to very good on the competency.

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Next Steps	The next steps that Pre-ETS and student will be making.	Pre-ETS has scheduled a meeting for 6/12/2017 to continue to work on discussions in postsecondary education.
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Work-Based Learning Experiences Service Code: 454	Instruction	Examples
Date	This is the date the service was provided.	05/12/2017
Group/Individual	Did this occur in a group or individual setting?	This was completed individually. This was completed in a group setting.
Activities	What was provided to the student?	The student participated in a CNA job shadow. The student participated in paid work experience. The student participated in mock interview.
Hours	How many hours of paid work experience did the student work?	The student worked X amount of hours during the paid work experience.
Provider	This is who provided the service.	Pre-ETS Transition Specialist, workforce center, CIL
Activity location	Where did the activity take place?	DCF office, Ellis High School, Public Library, employer site
Progress	The progress that the student has made. This reflect and discuss the pre-post assessment competencies.	The student has learned how to communicate during mock interview. The student has improved his level of proficiency to very good on this competency
Next Steps	The next steps that Pre-ETS and student will be making.	Pre-ETS has scheduled a meeting for 6/12/2017 with VR for a smooth transition.

Empower Me Workshop Service Code: 462	Instruction	Examples
Date	This is the date the service was provided.	05/12/2017
Group/Individual	Did this occur in a group or individual setting?	This was completed in a group setting.
Activities	What was provided to the student?	The student worked on self-advocacy, work-readiness, discussions on post-secondary training, and job exploration.
Provider	This is who provided the service.	KYEA
Activity location	Where did the activity take place?	DCF office, Ellis High School, Public Library, CIL, Workforce Center
Progress	The progress that the student has made. This reflect and discuss the pre-post assessment competencies.	The student learned self-advocacy skills, work-readiness skills, reviewed post-secondary training, and job exploration discussions. The Pre-ETS Transition Specialist will continue to work on these skills learning during the workshop
Next Steps	The next steps that Pre-ETS and student will be making.	Pre-ETS has scheduled a meeting for 6/12/2017 to continue working on Pre-ETS work readiness training.

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IEP Meeting Service Code: 463	Instruction	Examples
Date	This is the date the service was provided.	05/12/2017
Group/Individual	Did this occur in a group or individual setting?	This was completed in an individual setting.
Activities	What was provided to the student?	Pre-ETS attended the IEP meeting with the student and school personnel.
Provider	This is who provided the service.	Pre-ETS Transition Specialist
Activity location	Where did the activity take place?	Ellis High School
Progress	The progress that the student has made. This reflect and discuss the pre-post assessment competencies.	The student advocated their transition goals during the IEP.
Next Steps	The next steps that Pre-ETS and student will be making.	Pre-ETS has scheduled a meeting for 6/12/2017 to continue working on Pre-ETS work readiness training.

VR Collaboration Meeting Service Code: 464	Instruction	Examples
Date	This is the date the service was provided.	05/12/2017
Group/Individual	Did this occur in a group or individual setting?	This was completed in a individual setting.
Activities	What was provided to the student?	The student attended the meeting with the student and VR counselor.
Provider	This is who provided the service.	Pre-ETS Transition Specialist
Activity location	Where did the activity take place?	DCF office, Ellis High School, Public Library, CIL, Workforce Center
Progress	The progress that the student has made. This reflect and discuss the pre-post assessment competencies.	The student discussed the progress he has been making in Pre-ETS. He discussed his disability and advocated his needs during this meeting.
Next Steps	The next steps that Pre-ETS and student will be making.	Pre-ETS has scheduled a meeting for 6/12/2017 to continue working on Pre-ETS work readiness training.

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DCF Foster Care/Independent Living Collaboration Meeting Service Code: 465	Instruction	Examples
Date	This is the date the service was provided.	05/12/2017
Group/Individual	Did this occur in a group or individual setting?	This was completed in an individual setting.
Activities	What was provided to the student?	Pre-ETS and DCF FC/IL had a collaboration meeting with the student.
Provider	This is who provided the service.	Pre-ETS Transition Specialist
Activity location	Where did the activity take place?	DCF office, Ellis High School, Public Library, CIL, Workforce Center
Progress	The progress that the student has made. This reflect and discuss the pre-post assessment competencies.	The student and staff discussed the services and progress that had been provided to assist with ongoing services.
Next Steps	The next steps that Pre-ETS and student will be making.	Pre-ETS has scheduled a meeting for 6/12/2017 to continue working on Pre-ETS work readiness training.