

Counselor: _____

Case # _____ Caseload # _____

Reviewed by: _____

Date Reviewed: _____

App. date: _____ Elig. date: _____ IPE date: _____ Closure date: _____

Rating:

1 = Minimally or Not in Compliance (multiple important aspects were omitted **and/or** the omission(s) have a major impact)

2 = Mostly Compliant (The majority of important aspects were completed **and** omissions have no more than a mild to moderate impact)

3 = Compliant with No Major Omissions (if any omission they were minor and have no or only a mild impact)

Section I. Quality of Counseling Services and Case Documentation:

1. Intake:

1 2 3 NA

- ☐ The intake summary is well documented, adequately covering **applicable** topics; and
- ☐ Focuses on the individual's strengths, resources, priorities, concerns, abilities, capabilities, and interests; and, in particular, specifically identifies the participant's perceived functional limitations and disability related barriers to employment; and
- ☐ There is documentation the counselor and participant explored the participant's purpose in applying for VR services, commitment to achieving an employment outcome and if applicable addressed barriers such as competing priorities or lack of motivation or follow through, which could hamper the individual's ability to obtain and maintain employment.
- ☐ Other:

2. Informed Choices:

1 2 3 NA

- ☐ There is documentation the counselor provided adequate counseling and guidance to help the participant identify his or her primary employment factors (strengths, resources, priorities, concerns, abilities, capabilities) and interests; explore short and long term goals; research and explore various options, and consider the pros and cons of these options, in order to make informed choices that will likely lead to long term sustainable employment; and
- ☐ There is documentation the counselor explored the "why" behind the participant's desires and choices in order to utilize a person-centered approach to making informed choices.
- ☐ Other:

3. AVRNIPE: Addressing Disability

1 2 3 NA

- ☐ The AVRNIPE adequately identifies and addresses specific functional limitations, and management of the individual's disability, sufficiently to accommodate, minimize or eliminate disability related barriers to employment. *Examples include, but are not limited to, medical management of the disability, assistive technology as appropriate, addressing accommodation needs, a selective job placement etc.*
- ☐ Other:

4. AVRNIPE for Individuals receiving SSI and/or SSDI Benefits:

1 2 3 NA

- ☐ Before selecting an employment outcome, the individual received benefits planning to educate him or her on work incentives and the effects employment will have on his/her benefits; **and**
- ☐ The counselor provided ongoing education, counseling and guidance to assist the individual (and his/her support system) in making informed decisions regarding employment, earnings, work hours, and long-term outcomes regarding employment and benefits.

5. AVRNIPE: Other

1 2 3 NA

- ☐ The AVRNIPE adequately addresses other employment barriers (such as felony convictions) and needs not previously addressed; and
- ☐ The AVRNIPE adequately address the skills (both hard and soft) the individual will need to obtain and maintain long term employment; and

- ☐ The AVR/ IPE adequately provide for the appropriate level of job seeking skills, job placement and/or job retention, and maintenance or follow along services.
- ☐ Other:

6. Counselor Collaboration and Engagement w/ Core Partners:

1 2 3 NA

- ☐ As applicable to the service needs of the individual, there is documentation the counselor engaged in:
- ☐ Collaboration and coordination of services with core partners; **or**
 - ☐ Assisting the participant to obtain and/or maintain employment or work experience through activities such as:
 - Discussing needs and coordinating services with the business development team; core partners in the job connect offices; other community agencies; or training programs that provide placement assistance;
 - Contacting or advocating with employers on behalf of the participant;
 - Directly assisting the participant to obtain a work experience, internship, apprenticeship or survival job that will increase work skills; or
 - In cases of supported or customized employment (or similar situations when a provider is being used for placement services), working closely in conjunction with the participant and provider to identify appropriate employers, jobs, job settings and/or closely overseeing or directing the process to ensure appropriate services are being provided and a quality job is obtained.
- ☐ Other:

7. Case Note Documentation:

1 2 3 NA

- ☐ Case notes are written in a professional, cohesive, orderly and logical manner enabling the direction of the case to be clearly followed, provides an adequate **rationale for decisions**, and are completed within required time frames.

8. Other Case Documentation:

1 2 3 NA

- ☐ Required documentation is found in the file; and
- ☐ There are no ethical concerns regarding information contained on the COE (for example, listing a disability, impediment or limitation without having an adequate basis to do so); and
- ☐ Other case documentation is accurate, professional and of acceptable quality; and
- ☐ Confidentiality is maintained and case file does not contain information that identifies other VR participants.
- ☐ Other:

9. Other:

Substantial Quality Issues Not Previously Addressed:

1 2 3 NA

(For example, an ethical concern not addressed in other questions may be rated "1". Documentation that the counselor went above and beyond in an area not previously addressed may be rated "3".)

List:

Section II. Quality of Vocational Preparation, Vocational Goal, Training and Placement

10. Vocational Exploration:

1 2 3 NA

- ☐ When exploring vocational options there is documentation:
- In-demand industries were explored; and
 - Labor market information was taken into consideration; and
 - The participant's interests and abilities, as well as employer needs and expectations were taken into consideration; and

- ☐ For individuals traditionally employed in low wage/entry level positions, or with little to no work experience, there is documentation:
- Career pathways were considered; and/or
 - The counselor provided guidance to assist the individual in considering additional job driven training, based on labor market needs, or opportunities for on the job training or other training to enhance the quality of employment and career options.

11. Quality of Vocational Goal Selected:

1 2 3 NA

- ☐ Before finalizing a chosen outcome and including it on the IPE the counselor and participant obtained a good understanding of:
- The job duties,
 - The physical, environmental, emotional and cognitive demands of the job,
 - Local labor market conditions for the particular goal,
 - Wage information,
 - Skills, credentials and experience needed for goal obtainment, and
 - Other applicable or unique employment requirements.

☐ The IPE goal selected is:

- Consistent with the individual's primary employment factors, as defined by federal regulations; and
- In a high demand industry, has a good labor market, or there is a justifiable reason why the individual will be able to obtain and maintain employment in the field given labor market conditions; and
- Has a high probability of resulting in long term, sustainable employment.

12. Credential Attainment and Measurable Skill Gains:

1 2 3 NA

- ☐ Credential attainment and measurable skill gains, as defined by federal regulations, are included as IPE services, as needed and appropriate, to support the individual in obtaining his or her chosen vocational goal and objectives.

13. If the individual was referred to a paid provider or the Business Development Team for job placement services:

1 2 3 NA

☐ The individual was sufficiently ready for employment; and

☐ If the referral is to obtain employment in the IPE Goal:

- Hard and soft skills needed to obtain and maintain the desired employment were sufficiently addressed prior to the referral

Or

☐ If the referral is for a survival/short term job/internship, etc., the counselor and participant discussed and agreed to goals for placement, which may include but are not limited to:

- Practicing and improving soft skills or increasing work skills,
- Gaining work experience,
- Addressing reasons for previous job losses,

14. If the individual was placed in employment:

1 2 3 NA

☐ The employment (including survival, temporary and IPE goal employment, etc.) is within the individual's abilities (with or without accommodations) and is not contradictory to functional limitations; and

☐ If the placement is for the IPE Employment Outcome: It is a quality sustainable placement, with wages consistent with the participant's needs (based on realistic individualized self-sustaining income goals), provides realistic opportunities for advancement, as desired, and is consistent with the individual's primary employment factors and other criteria necessary for long-term employment.

15. If the individual leaves or is terminated from employment:

1 2 3 NA

☐ As applicable, the individual is provided quality counseling, and is offered opportunities that will assist him or her to maintain future employment. *For example, if the job was lost due to attendance issues, counseling was provided to identify why this was an issue, and how to effectively address it; and as appropriate the participant was provided the opportunity to "practice good attendance" in another setting (such as a CBA, job club, etc.) prior to another job placement.*

Section III. Quality of Closures

16. Post Closure Data Collection:

1 2 3 NA

☐ There is documentation that at closure the counselor discussed the need for VR to obtain post-closure data, the procedures for doing so, and encouraged the participant to respond to both automated and direct contacts from VR.

Cases Closed with an Employment Outcome: Question #'s: 17-21

17. Pay Rate: (bonus question)

3 or NA

☐ The participant is consistently earning wages of at least \$12.00 an hour.

18. Number of Hours Working: (bonus question)

3 or NA

☐ The participant is consistently working at least 32 hours a week.

19. Federal Closure Requirements Met:

1 2 3 NA

☐ There is documentation that substantial IPE Services led to the employment outcome; and
☐ The job is in an competitive integrated setting; and
☐ The job is consistent with the individual's primary employment factors; and
☐ There is documentation that at closure (or within 30 days of closure) the counselor and participant communicated and agreed the participant is satisfied with and is performing satisfactorily in employment.

20. Sustainability of Job:

1 2 3 NA

There is reasonable documentation that the employment is sustainable for the individual, including but not limited to:

☐ Hours, wages and benefits are consistent with the individual's needs; and
☐ The job is a good match for the individual; and
☐ The job is a quality job --one the individual will want to keep, and/or provides opportunity to gain experience that will assist the individual to advance in employment; and
☐ Accommodations, if needed, are in place and functioning satisfactorily; and
☐ Long term supports are in place (Supported Employment Cases); and
☐ The individual has the work/hard skills to do the job; and
☐ The individual has developed sufficient "soft skills" to maintain employment; and
☐ Work Environment is appropriate

21. Post-Employment Services:**1 2 3 NA**

☐ For individuals whose cases are closed with a competitive integrated employment outcome, the counselor provided detailed post-employment services information, which included counseling and guidance on services that can support the individual in maintaining employment after exit from VR; information on how to access these services; and the benefits of keeping in touch with their counselor if having difficulty on the job or if his or her job is in jeopardy.

22. Closures without an Employment Outcome:**1 2 3 NA**

☐ Case documentation adequately justifies the reason for closure without an employment outcome; and
☐ The closure summary clearly documents the issues surrounding why the case was not closed successfully and as applicable, provides recommendations for areas to address if the participant reapplies for services; and
☐ As applicable and feasible, the counselor provided counseling, guidance and recommendations to assist the participant to be successful in future cases or employment.

Section IV. Applying and Documenting Compliance with Regulations, Laws & Policies**23. Eligibility Documentation:****1 2 3 NA**

☐ There is documentation the individual meets eligibility criteria, including acceptable documentation of a disability that creates a substantial barrier to employment; and
☐ If the applicant received SSDI or SSI for a disability, documentation was obtained and a presumptive eligibility determination was made; and
☐ If coded significantly or most significantly disabled, required elements on the COE are completed, and there is supporting documentation in the file to justify the coding.

24. Eligibility Time Line:**1 2 3 NA**

☐ The eligibility determination was made within 60 days of application for service; OR an extension or trial work plan was completed and was consistent with policy requirements.

25. IPE Time Line and Services**1 2 3 NA**

☐ The IPE was developed within 90 days of the eligibility determination, or an extension was completed per policy requirements; and
☐ There is sufficient documentation to demonstrate the counselor/agency moved the case forward and provided IPE services without undue delay.

26. IPE Signatures and Annual Review:**1 2 3 NA**

☐ The IPE, and any amendments are signed by the counselor and participant; and
☐ IPE annual reviews to assess the individual's progress in achieving the employment outcome are completed as required and signed by the counselor and participant.
☐ As applicable, releases of information were updated at the time of the annual review.

27. Other IPE Requirements:**1 2 3 NA**

☐ The IPE adequately describes the participant's responsibilities for achieving the employment outcome and the criteria that will be used to evaluate progress toward the achievement of the employment outcome; and
☐ A reassessment of vocational needs was completed and the IPE amended when there was a substantial change in program services or the employment goal.

28. Comparable Benefits:**1 2 3 NA**

- ☐ The exploration and utilization of comparable benefits is documented in the case file for all services subject to the comparable benefits requirement. Comparable benefits are listed on the IPE. If applicable, a case note explains why a comparable benefit (that is available or listed on the IPE), was not utilized.

29. Goods and Services:**1 2 3 NA**

- ☐ All goods and services **listed** on the IPE are needed to reach the vocational goal. There are no extraneous goods or services listed; and
- ☐ All goods and services **authorized**:
- ☐ Were appropriate and needed for vocational purposes; and
 - ☐ Were included on a signed IPE (other than assessments provided prior to the IPE) before the provision of the service; and
- ☐ If applicable, were reviewed for spending authority prior to signing the IPE.

30. Expenditures:**1 2 3 NA**

- ☐ Expenditures followed all other policy requirements, including (as applicable) but not limited to:
- ☐ RD-87's and receipts for all goods purchased (other than training)
 - ☐ College grade reports or certificates of completion for college or vocational training
 - ☐ Provider reports for services provided (excluding job developer/coach reports addressed in question 33)
 - ☐ Signed receipts for goods or services purchased by the participant using an authorization (for example interview clothing)
 - ☐ Cash pay procedures followed including the required case note documentation (justification, autho amount, item etc.)
 - ☐ Signed fuel pump receipts; and mileage logs which adequately reflect appropriate use of fuel for VR activities
 - ☐ Para transit logs which reflect appropriate use of Para Transit pass for VR activities
 - ☐ Review by dental and/or hearing consultant
 - ☐ Documentation of a confirming requisition for goods \$5,000.00 and over
 - ☐ Equipment contracts
 - ☐ Policies were followed regarding vehicle and home modifications, vehicle repair, maintenance services, self-employment and any other policy that has financial implications
 - ☐ Other:

31. Job Developer and Job Coach: Referrals and Authorizations (Paid Providers):**1 2 3 NA**

- ☐ Sufficient referral criteria was provided; and
- ☐ Authorizations were completed prior to the referral for services; and
- ☐ The file contains an adequate rationale and supporting documentation to justify the use of a paid provider and the level of services authorized.
- ☐ Other:

32. Job Developer and Job Coach Reports and Payments (Paid Providers)**1 2 3 NA**

- ☐ Reports are adequately completed and found in the file; and
- ☐ There is evidence the counselor reviewed the reports before approving payment; and
- ☐ Reports document appropriate and adequate services were provided; and
- ☐ Payment of a placement fee was only approved for appropriate placements that were consistent with counselor referral criteria and the job seekers needs and abilities.

- 33. Repeat Placements or Change in Providers (Paid Providers)** **1 2 3 NA**
☐ As applicable, if the participant loses a job the reasons are explored and adequately addressed prior to authorizing another placement; or if the individual is unsuccessful at obtaining a placement with one provider, the reasons are explored and adequately addressed prior to changing to another provider.
- 34. Credential or Measurable Skill Gains:** **1 2 3 NA**
☐ If a credential or measurable skill gains were earned:
☐ It was included on the IPE; and
☐ There is appropriate supporting documentation in the case file (such as a copy of a diploma, transcript, certification etc.).
- 35. Policies on S.E., C.E., Youth Entering Subminimum Wage and Post-Secondary Education:** **1 2 3 NA**
☐ As applicable, all policies and documentation requirements were followed for:
☐ Supported employment
☐ Customized employment
☐ Youth entering subminimum wage employment
☐ Post-Secondary Education
- 36. Financial Participation:** **1 2 3 NA**
☐ The financial participation form was accurately completed and signed by the counselor and participant; and
☐ The counselor verified benefits or income and family size per policy requirements
☐ If the individual has any financial participation:
 ○ The IPE lists the amount of financial participation applicable to each service
 ○ The individual contributed as expected
☐ The financial participation form was updated and income/benefits re-verified at the time of the annual review **or** if waived, the reason for waiver is case noted by the counselor (*waiver allowed if the individual receives SSI/SSDI, TANF, SNAP or all remaining services are exempt from financial participation*).
- 37. IPE Completion/Signatures Transition Cases:** **1 2 3 NA**
☐ The IPE was signed before the student exited the school system.
 Note: If student was not determined eligible until after exiting the school system, answer NA.
- 38. IPE & IEP: Transition Cases:** **1 2 3 NA**
☐ The IPE was developed in consideration of the IEP if the student was receiving Special Education services at the time of IPE development.
 Note: If student was not in school at the time of the IPE, answer NA.
- 39. Pre-Employment Transition Services for Students:** **1 2 3 NA**
☐ Pre-Employment transition services are adequately addressed and provided for if needed:
☐ Job exploration counseling ☐ Work based learning experiences
☐ Work place readiness training to develop social and independent living skills
☐ Instruction in self-advocacy ☐ Counseling on enrollment in post-secondary education
- 40. Other:** Substantial laws, federal regulation, policy concerns **1 2 3 NA**
 not previously addressed. **List:**