

3300.6020 CASE RECORD DOCUMENTATION.

Subpart 1. **Case records.** An extended employment provider must maintain a current confidential case record for each individual served in the extended employment program. The provider shall retain each case record for a minimum of three years after the completion of the compliance audit process.

Subp. 2. **Case record elements.** Case records must include the following information:

A. personal identification data, including the individual's legal name, Social Security number, legal status, date of birth, residential status and address, and, if applicable, the name and contact information of the individual's legal representative;

B. documentation of eligibility for extended employment, including:

(1) independent source documentation of the individual's diagnosed disability by a qualified professional; and

(2) documentation identifying the individual's specific significant functional limitations to employment by one of the following:

(a) a disability examiner, employed by the department's Disability Determination Services, or other state department that evaluates claims for disability benefits using Social Security Administration guidelines to determine the significant functional limitations to employment of individuals;

(b) a vocational rehabilitation professional, employed by a state department or county unit, who is authorized by the government unit to determine the significant functional limitations to employment of individuals; or

(c) an extended employment provider, as provided in the intake paperwork;

C. pay statements from the individual's payroll agent demonstrating:

(1) start and end dates of the pay period;

(2) hours worked during the pay period;

(3) hours of paid leave used in the pay period;

(4) amount of gross wages paid in the pay period;

(5) payroll agent of record; and

(6) the individual's and the employer's contribution to the individual's federal Social Security program;

D. the date the individual was referred to the extended employment provider for extended employment services, the referral source, and the name and contact information of the person who made the referral;

E. employment data, including contact information for supervisors, job duties, work schedules, rate of pay, benefits, start dates, and termination dates;

F. the current extended employment support plan updated annually; and

G. the ongoing employment support services provided to the individual including, at a minimum, the date and services provided to the individual by the provider during the two in-person meetings per month.

Subp. 3. WIOA, section 511. If an individual's employment requires an annual WIOA, section 511, career counseling session, then the case record must include documentation of that session.

Statutory Authority: *MS s 268A.15*

History: *43 SR 993*

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