

**U. S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
REHABILITATION SERVICES ADMINISTRATION  
WASHINGTON, DC 20202**

**POLICY DIRECTIVE**

**RSA-PD-99-08**

**DATE: July 30, 1999**

**ADDRESSEES:** STATE VOCATIONAL REHABILITATION AGENCIES (GENERAL)  
STATE VOCATIONAL REHABILITATION AGENCIES (BLIND)  
CLIENT ASSISTANCE PROGRAMS  
REGIONAL REHABILITATION CONTINUING EDUCATION PROGRAMS  
(RRCEPS)  
AMERICAN INDIAN VOCATIONAL REHABILITATION SERVICES  
GRANTS  
STATE REHABILITATION COUNCILS  
RSA SENIOR MANAGEMENT TEAM

**SUBJECT:** Announcement of OMB Approval for Collection of the Quarterly Cumulative  
Caseload Report (Form RSA-113)

**POLICY STATEMENT:** Under the Paperwork Reduction Act of 1995, the Office of Management and  
Budget (OMB) has approved the attached revised Quarterly Cumulative  
Caseload Report--Form RSA-113, OMB Number 1820-0013 for collecting State  
vocational rehabilitation agency caseload data.

This form has been revised to correct minor omissions to the previous form and  
reintroduces items to provide data verification controls. These revisions do not  
require new data to be collected by direct service delivery staff.

The due date for each quarterly submittal remains at 30 days after the end of the  
quarter. State vocational rehabilitation agencies are requested to begin reporting  
on the new form for the First Quarter of FY 2000 (due January 31, 2000).

For the purpose of these data collections, State vocational rehabilitation Agencies  
will comply with the requirements of 34 CFR 361.38, Protection, Use and  
Release of Personal Information, in obtaining data from individual clients.

The Rehabilitation Services Administration (RSA) requested an emergency  
approval of this form; consequently, this form has been approved for only a six-  
month period. RSA will be requesting approval under a regular clearance  
process in the near future; it is expected that the form will then be approved for a  
longer period.

**CITATIONS  
IN LAW:**

Sections 7(11), 13, and 101(a)(10) of the Rehabilitation Act of 1973, as amended,  
and the Paperwork Reduction Act of 1995, as amended.

**CITATIONS IN REGULATIONS:** 34 CFR 361.5(b)(15), .38, and .40

**EFFECTIVE DATE OF POLICY:** Immediately

**EXPIRATION DATE:** January 31, 2000

**INQUIRIES:** Regional Commissioners

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Fredric K. Schroeder  
Commissioner

Attachment

**QUARTERLY CUMULATIVE CASELOAD REPORT**

Rehabilitation Services Administration  
 OSERS/US DEPARTMENT OF EDUCATION

Fiscal Year: \_\_\_\_\_ Period Covered: \_\_\_\_\_

State: \_\_\_\_\_  Blind Agency  Oct-Dec  Oct-Jun  
 General/Combined Agency  Oct-Mar  Oct-Sep

Operated Under Order of Selection During Period?  Yes  No

CASELOAD ITEMS	TOTAL NUMBER	# WITH SIGNIFICANT DISABILITY
<b>A. ELIGIBILITY</b>		
1 Applicants On Hand, October 1		
2 Applicants New This FY		
3 Applicants at End of Period (A1+A2-A5-A8-A12-D7)		
4 Individuals in Trial Work/EE, On Hand October 1		
5 Individuals in Trial Work/EE, Referred This FY		
6 Individuals in Trial Work/EE at End of Period (A4+A5-A9-A13-D6)		
7 On OOS Waiting List, On Hand October 1		
8 On OOS Waiting List This FY from Application		
9 On OOS Waiting List This FY from Trial Work/EE		
10 On OOS Waiting List at End of Period (A7+A8+A9-A14-D5)		
11 Eligible, Before Plan, On Hand October 1		
12 Eligible, Before Plan, This FY from Application		
13 Eligible, Before Plan, This FY From Trial Work/EE		
14 Eligible, Before Plan, This FY From OOS		
15 Eligible, Before Plan at End of Period (A11+A12+A13+A14-B2-D3)		
<b>B. EMPLOYMENT PLANNING</b>		
1 Employment Plan Developed, On Hand October 1		
2 Employment Plan Developed, This FY		
3 Employment Plan Developed at End of Period (B1+B2-C2-D4)		
<b>C. SERVICE IMPLEMENTATION</b>		
1 Individuals Implementing Plan, On Hand October 1		
2 Individuals Implementing Plan, Beginning This FY		
3 Individuals Implementing Plan at End of Period (C1+C2-D1-D2)		
<b>D. OUTCOMES</b>		
1 Achieved Employment Outcomes		
2 Closed After Services Initiated, Without Employment		
3 Closed After Eligibility, Before IPE Developed		
4 Closed After IPE Developed, Before Services Initiated		

CASELOAD ITEMS	TOTAL NUMBER	# WITH SIGNIFICANT DISABILITY
5 Closed From OOS Waiting List		
6 Closed From Trial Work/EE		
7 Closed As Applicant		
8 Total Service Records Closed at End of Period (D1+D2+D3+D4+D5+D6+D7)		

**Contact Person**

(Please Print): \_\_\_\_\_

Phone Number: \_\_\_\_\_

E-mail address: \_\_\_\_\_

Date \_\_\_\_\_ Authorized Signature \_\_\_\_\_

## FORM RSA-113: QUARTERLY CUMULATIVE CASELOAD REPORT

### REPORTING INSTRUCTIONS

#### General Purpose

Form RSA-113 provides for the quarterly collection of information on persons with disabilities in their rehabilitation process at State vocational rehabilitation (VR) agencies. Data from Form RSA-113 are used to track trends of persons applying for VR services, determinations of eligibility by State VR agencies, identification of persons with significant disabilities, employment planning, service implementation, and employment outcomes. These trends are key program measurements that provide a general assessment of the State-Federal VR program and its accomplishments.

Other uses for the Form RSA-113 data are to identify technical assistance needs of specific State VR agencies, to develop RSA's budget requests, to provide program information for the Office of Management and Budget, the Department of Education and the United States Congress in their deliberation of legislative agenda. The Social Security Administration also uses these data in computing reimbursement payments to State VR agencies. Caseload data from Form RSA-113 are an integral part of RSA's Annual Report to the President and to the Congress on Federal Activities Related to the Rehabilitation Act of 1973, as Amended.

#### Instructions for Completing the Form RSA-113

Data Validation Items - In response to requests from the field, several data verification items have been re-introduced to this collection. It is generally felt that these items are helpful to verify and validate the accuracy of data reported.

#### **General Information**

State and Agency - Enter the name of the State and check the appropriate box to indicate a general/combined agency or an agency providing services to persons who are blind.

Fiscal Year and Period Covered - Enter the appropriate fiscal year and check the appropriate period of the fiscal year.

Operated under an order of selection? - Indicate whether the State VR agency operated under order of selection priorities at some time during the reporting period.

#### **A. ELIGIBILITY**

1 Applicants On Hand, October 1 - Enter the number of persons who applied for VR services last fiscal year for whom no determination of eligibility was made as of the end of that fiscal year. This figure stays constant throughout the current fiscal year.

2 New Applicants This FY - Enter the cumulative number of persons who applied for VR services since the beginning of the current fiscal year.

3 Applicants at End of Period (A1+A2-A5-A8-A12-D7) - This item indicates the number of applicants for whom a determination of eligibility has not yet been made at the end of the period.

4 Individuals in Trial Work/EE, On Hand October 1 - Enter the number of persons in Trial Work Experiences and/or Extended Evaluation at the end of last fiscal year. This figure stays constant throughout the current fiscal year. In the second column enter the number of persons in this category whose disabilities are significant.

5 Individuals in Trial Work/EE, Referred This FY - Enter the cumulative number of applicants who were placed into Trial Work Experiences and/or Extended Evaluation since the beginning of this fiscal year. In the second column, enter the number of persons in this category whose disabilities are significant.

6 Individuals in Trial Work/EE at End of Period (A4+A5-A9-A13-D6) - This item indicates the number of individuals who are in a period of Trial Work Experiences or Extended Evaluation at the end of the period, prior to a determination of eligibility. In the second column, enter the number of persons in this category whose disabilities are significant.

7 On OOS Waiting List, On Hand, October 1 - Enter the number of persons who were previously determined eligible for VR services and who continue to wait on an order of selection waiting list from last fiscal year because the severity of their disabilities does not correspond with the State VR agency's order of selection categories that are currently being served. In the second column, enter the number of those persons whose disabilities are significant. This item applies only to State VR agencies that were operating under an order of selection at some time during the reporting period.

8 On OOS Waiting List This FY From Application - Enter the cumulative number of persons who were determined eligible for VR services this fiscal year, for whom VR services will be delayed because the severity of their disabilities does not correspond with the State VR agency's order of selection categories that are currently being served. In the second column, enter the number of those persons whose disabilities are significant. This item applies only to State VR agencies that were operating under an order of selection some time during the reporting period.

9 On OOS Waiting List This FY from Trial Work/EE - Enter the number of individuals who were determined eligible after trial work experiences or an extended evaluation, but were placed on a waiting list in accordance with the State VR agency's order of selection criteria. This item only applies to State VR agencies on an order of selection. In the second column, enter the number of persons in this category whose disabilities are significant.

10 On OOS Waiting List at End of Period (A7+A8+A9-A14-D5) - This item indicates the number of eligible individuals remaining on a waiting list at the end of the reporting period. In the second column, enter the number of persons in this category whose disabilities are significant.

11 Eligible, Before Plan, On Hand October 1 - Enter the number of persons who were determined eligible during the last fiscal year, but had not completed an employment plan at the end of the year. Do not include eligible persons on an order of selection waiting list. In the second column, enter the number of persons in this category whose disabilities are significant.

12 Eligible, Before Plan, This FY from Application - Enter the cumulative number of persons who were determined eligible this fiscal year after application. Do not include persons who were determined eligible after trial work experiences and/or an extended evaluation (item A-13), or persons who were determined eligible but are on a waiting list because the severity of their disabilities does not correspond with the State VR agency's order of selection categories that are currently being served (items A-8 and A-9). In the second column, enter the number of persons in this category whose disabilities are significant.

Also, do not include persons who were able to begin employment planning after waiting on an order of selection list since the beginning of this fiscal year (item A-14).

13 Eligible, Before Plan, This FY From Trial Work/EE - Enter the number of persons determined eligible this year after trial work experiences and/or an extended evaluation. In the second column, enter the number of persons in this category whose disabilities are significant.

14 Eligible, Before Plan, This FY from OOS - Enter the cumulative number of individuals who were able to begin employment planning after waiting on an order of selection list since the beginning of this fiscal year. In the second column, enter the number of persons in this category whose disabilities are significant.

15 Eligible, Before Plan at End of Period (A11+A12+A13+A14-B2-D3) - Enter the total number of persons remaining at the end of the period who are eligible, but have not completed developing an employment plan. In the second column, enter the number of persons in this category whose disabilities are significant.

## **B. EMPLOYMENT PLANNING**

For purposes of this report, Employment Planning is considered to begin on the date of eligibility certification and end on the date that the Individualized Plan for Employment (IPE) is signed, possibly on the same day.

1 Employment Plan Developed, On Hand, October 1 - Enter the cumulative number of eligible persons who completed developing an IPE but had not yet implemented the plan as of the end of last fiscal year. In the second column, enter the number of persons in this category whose disabilities are significant.

2 Employment Plan Developed, This FY - Enter the cumulative number of eligible persons who have completed developing an IPE since the beginning of this fiscal year. Do not include persons who developed plans for Trial Work Experiences and/or Extended Evaluation. In the second column, enter the number of persons in this category whose disabilities are significant.

3 Employment Plan Developed at End of Period (B1+B2-C2-D4) - Enter the total number of persons remaining at the end of the period who have developed and signed an IPE, but have not begun implementing the IPE. In the second column, enter the number of persons in this category whose disabilities are significant.

## **C. SERVICE IMPLEMENTATION**

1 Individuals Implementing Plan, On Hand October 1 - Enter the number of persons who were receiving VR services in accordance with their IPE at the end of the last fiscal year. In the second column, enter the number of those persons in this category whose disabilities are significant.

2 Individuals Implementing Plan This FY - Enter the cumulative number of persons who started receiving services in accordance with their IPE since the beginning of this fiscal year. In the second column, enter the number of those persons in this category whose disabilities are significant.

3 Individuals Implementing Plan at End of Period (C1+C2-D1-D2) - Enter the total number of individuals remaining at the end of the period who are in the process of receiving VR services according to their IPE. In the second column, enter the number of persons in this category whose disabilities are significant.

## **D. OUTCOMES**

1 Achieved Employment Outcomes - Enter the cumulative number of persons who achieved employment outcomes since the beginning of the fiscal year. In the second column, enter the number of persons in this category whose disabilities are significant. All persons reported in the item, "Employment Status at Closure," on the RSA-911, Case Service Report, OMB number 1820-0508, would be counted in this category. For a definition of "employment outcome," refer to section 7(11) of the Rehabilitation Act and 34 CFR 361.5(b)(15).

2 Closed After Services Initiated, Without Employment - Enter the cumulative number of persons whose service records were closed this fiscal year after an IPE was developed and VR services were initiated, but before achieving an employment outcome. In the second column, enter the number of persons in this category whose disabilities are significant.

3 Closed After Eligibility, Before IPE Developed - Enter the cumulative number of eligible individuals, not on an order of selection list, who did not complete developing and signing an IPE and whose service records were closed before VR services were initiated. In the second column, enter the number of persons in this category whose disabilities are significant.

4 Closed After IPE Developed, Before Services Initiated - Enter the cumulative number of individuals whose service records were closed after they developed and signed an IPE, but before services were initiated. In the second column, enter the number of persons in this category whose disabilities are significant.

5 Closed From OOS Waiting List - Enter the cumulative number of eligible persons whose service records were closed without services from the order of selection waiting list since the beginning of the fiscal year. In the second column, enter the number of persons in this category whose disabilities are significant.

6 Closed From Trial Work/EE - Enter the cumulative number of persons in Trial Work Experiences and/or Extended Evaluation whose service records were closed without a determination of eligibility for any reason since the beginning of this fiscal year. In the second column, enter the number of persons in this category whose disabilities are significant.

7 Closed As Applicant - Enter the cumulative number of applicants whose service records were closed before a determination of eligibility was made since the beginning of the fiscal year. Do not include any persons in Trial Work Experiences and/or Extended Evaluation whose service records were closed without a determination of eligibility (item D-6).

8 Total Service Records Closed at End of Period (D1+D2+D3+D4+D5+D6+D7) - Total number of service records closed of individuals who exited the VR program. In the second column, enter the number of persons in this category whose disabilities are significant.

### **Contact Information**

Contact Person - Print or type the name of the person to contact about data presented on the Form RSA-113 including this person's telephone number.

Date and Authorized Signature - Enter the date that the report is transmitted and the signature of the Director of the State VR agency, or designee.



## **Transmittal**

Please send the data for your State VR agency on Form RSA-113 within 30 days after the end of each quarter of the Federal fiscal year, one copy to your RSA Regional Office, and one copy to the RSA Central Office.

The form RSA-113 reports may be sent by mail or electronically using one of the options listed below.

### **A. Electronic Mail addresses via INTERNET--**

The RSA Central office Internet e-mail address for the RSA-113 is: gloria\_somerville@ed.gov

Regional office e-mail addresses are:

Region I	john_szufnarowski@ed.gov
Region II	gennaro_iodice@ed.gov
Region III	ralph_pacinelli@ed.gov
Region IV	diane_mccuen@ed.gov
Region V	charles_linster@ed.gov
Region VI	loerance_deaver@ed.gov
Region VII	douglas_burleigh@ed.gov
Region VIII	marian_fuller@ed.gov
Region IX	gilbert_williams@ed.gov
Region X	chris_smith@ed.gov

### **B. US Mail and Facsimile--**

This report may be faxed to the RSA Central Office at 202-205-9772, or mailed via US mail to:

Rehabilitation Services Administration  
Financial Management Information Systems Staff  
Data Management Unit  
330 C Street S.W., room 1010  
Switzer Building  
Washington, DC 20202-2703

**RSA Regional Office addresses are as follows:**

**Region I**

Mr. John J. Szufnarowski  
RSA Regional Commissioner  
Dept. of Education, OSERS  
J.W. McCormack Post Office and Courthouse, Room 232  
Boston, Massachusetts 02109  
Phone: 617-223-4086  
Fax: 617-223-4573

**Region II**

Mr. John J. Szufnarowski  
RSA Regional Commissioner  
Dept. of Education, OSERS  
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Fax: 212-264-3029

**Region III**

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Fax: 215-656-6188  
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**Region IV**

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**Region V**

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Fax: 312-353-8623

**Region VI**

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**Region VII**

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**Region VIII**

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**Region IX**

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**Region X**

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