



Policy No. 003	Subject: Case Services Guidance
Section: IVRS Overview	Revised: 12/2019
Signature: Brandy McOmber, Resource Manager	Version: FINAL

1. INTRODUCTION

This manual is to provide guidance to IVRS staff in the provision of vocational rehabilitation services to job candidates. In no way should the guidance provided be construed as covering all situations and solutions for every issue that develops in the course of rehabilitation service delivery. Much discretion is given to rehabilitation counselors in decision-making as they develop and carry out individualized programs with job candidates. Staff use professional judgment in making decisions on areas not covered in policy.

2. DEFINITION

Case work includes the provision of all services consistent with agency expectations from referral to closure, including intake and eligibility, arranging and providing direct services and appropriately recording provision of those services. The casework reflects the engagement of the job candidates in IVRS services. These are items which apply to all or most statuses. They may require review of more detailed instructions elsewhere in this manual.

3. CASE WORK GUIDANCE

Case work is any action, interaction, activity, service, or coordination of service in which a job candidate is the primary reason for the interaction. The interaction is conducted in a manner conducive to the job candidate's primary learning and communication methodology in order to promote understanding and facilitate involvement in a rehabilitation plan. The interactions are done in a respectful and engaging manner that promotes the well-being of the job candidate and transition into employment. The entire focus and reason for services is to assist the job candidate in preparing for, obtaining, maintaining, regaining, or advancing in employment. Case work includes the



provision of all services, consistent with agency expectations, from application to closure and is documented by appropriately recording the provision of those services.

The documentation of that recording is entered into a case note immediately following the appointment whenever feasible, and not later than within five working days of the appointment or discussion with the individual with a disability, provider, or guardian. Best practice would be to complete case entries immediately following the appointment as this ensures accuracy. IRSS would be updated as appropriate within the same timeframe. The case notes are to be updated with the factual information. Headers for case notes should may include: Issues (or Purpose), Decisions (or Summary), and Next Steps. A case note can be a summary of attempted contacts or several contacts with multiple people concerning the same issue in the case. Each case note entry should be followed by the name or initials of the author.

Case work guidelines require that job candidates are seen as often as necessary to keep the case moving forward and achieve success. The frequency of contact should be discussed with the job candidate so that both the staff and the job candidate have a mutual understanding of expectations regarding the contact and so it meets the needs of the job candidate. The frequency of contact should make sense for the case and the next steps should be clearly stated in the case notes to assure the reader of the case notes understands what all involved parties need to do to assure things continue to move forward for the job candidate. Case work should reflect a sense of urgency in addressing the employment goals applicable to the needs, interests, and abilities of each individual job candidate.

4. COUNSELING METHODOLOGY

Staff may use motivational interviewing techniques to engage the job candidate and achieve progression of the case. These techniques are used primarily when the job candidate is resistant, unmotivated, or when decision-making is a struggle and being avoided. It may not be necessary to use these techniques when a job candidate is motivated, is making solid decisions concerning their future, and the case is progressing. However, techniques of reflective listening are always a standard in counseling and engage the job candidate in the rehabilitation process. Counseling is intended to



support the job candidate in their decision-making and taking ownership of the rehabilitation process.

5. CONFIDENTIAL CASES

IVRS staff may not at any time serve a person with whom they are related. All staff follow the CRC Code of Ethics. The direct supervisor should be notified immediately when a family member applies for services.

There are times when it is necessary for IVRS to protect the confidentiality of a job candidate beyond the scope afforded to all agency clientele—particularly when the job candidate is an employee of IVRS or has a family member who is an employee of IVRS. In these instances, hard copy and electronic information will be accessible only to those individuals necessary to conduct IVRS business with the job candidate.

a. **Protecting the hard copy case file:**

The hard copy case file is identified as a confidential file by placing ½ sheet of red paper on the top of the case file cover sheet showing that the case is confidential and identifying the name of the individual(s) necessitating the confidentiality. The file is to be stored in a location where only authorized individuals have access.

b. **Protecting IRSS data:**

The office supervisor will send an email to IRSS Support, notifying them that a confidential case exists. Include the job candidate name, case file number, and an explanation of the need for confidentiality in the email. The office supervisor identifies staff members in the area office who need access to the data in IRSS.

c. **Transferring confidential files:**

When it is necessary to transfer a case that has been identified as confidential to another office, the office supervisor contacts the supervisor of the receiving office that the file will be transferred and the nature of its confidentiality. The receiving supervisor identifies staff members in the new area office who need access to the case in IRSS. Mailing instructions should be provided to assure that the confidential file will not be seen by unauthorized personnel.



d. Closing confidential files:

Write the word “CONFIDENTIAL” across the front of the case file to alert Closed Records staff. Before sending the confidential file to Des Moines, clerical staff contacts their office supervisor to determine whether the file can process through the normal case closure personnel or if another process needs to be identified based on ASB and/or PDT staff members who should not see the file due to its confidentiality.

e. Re-opening a confidential file:

i. RSB staff:

When an IRSS search for a Social Security number or name returns a confidential case, the area office supervisor is notified to determine whether the case is a match to the applicant. If the supervisor determines that a match exists, complete the steps outlined above to ready the office for receipt of the confidential case. The office supervisor contacts IVRS Closed Records to request the closed file noting that it is a confidential case and steps have been taken to maintain its confidentiality.

ii. Closed records staff:

When a case is reopened and it is clear that the case is confidential, Closed Records staff contacts the office supervisor to coordinate appropriate mailing procedures to assure that the confidential case will not be seen by unauthorized personnel.

6. CLOSED FILES

It is not unusual for an individual to have an open case file on multiple occasions. Collecting and recording the same information multiple times is not a good use of the time of the job candidate or IVRS staff.

If the closed file is obtained prior to the new intake being done, the old material can simply be updated and put in the new file. If the closed file was available in time, IVRS staff may be able to review the Health Assessment Questionnaire, intake summary and application with the individual to determine if updates or new data needs to be



obtained. In many cases the intake summary and Health Assessment Questionnaire, with updates, can be put directly into the new case file, without recreating them.

Old medical, psychological, school, and other records determined to still be relevant by the counselor are brought forward to the new file. The remainder of the old case file material is placed at the bottom of the new file under the “Old Case File Material” divider.

7. CASE TRANSFERS

Transfer Summary: The IVRS staff will briefly summarize the current case situation stating why the case is being transferred and what the next actions are expected to be, including the current disability issues, any program issues, and financial issues. If the transfer is due to a job candidate’s change of residence, the new address and phone number should be included. Whenever possible, include the full name and telephone number of relevant contacts, such as Case Managers, MCOs, or other contact persons. Case records should not be transferred without information on how to contact the job candidate by the receiving office.

Staff will communicate the receiving office to provide a warm handoff of the case. This could include an introduction of the job candidate to the staff receiving the case file. The original copy of the R-412 Application is located in the front of the case file. A cover letter should be placed on top of the case file with a copy retained for tracking purposes. A letter should also be sent to the job candidate informing them of the location and contact information for the new office.

Authorizations which will not be claimed should be canceled; authorizations that are needed (e.g. tuition assistance) should be prepared. Comparable services and benefits (when required), direct services, measurable skill gains, earned credentials and programs should all be updated in IRSS. The [Individualized Plan for Employment \(IPE\)](#) should be updated with any new review and goal dates, as cases should not be transferred with any dates that have been, or will be lapsed soon. IVRS staff should acquire signed extensions of eligibility or plan development as well. All required



documentation should be obtained (e.g. budget worksheet). All case paperwork should be filed. Records of Potentially Eligible students should be transferred in IRSS.

Once a transfer is received, an R-413 entry should include the date of the reassignment as well as the IVRS staff the cases is assigned to. Files being transferred to another office should be sent via UPS/FedEx or other mail service that allows for tracking of the package.

If a job candidate requests a change of counselor, the request should be directed to the office supervisor for review. Supervisors may grant requests as appropriate to do so without incurring additional cost to the agency. Efforts should be made to minimize case transfers. Historically, case transfers cause interruptions with the flow of services and loss of connection with the job candidate and support system. Transfers should occur when it is designed to better meet the needs of the job candidate. This guidance is not meant to imply that cases should not be transferred when the job candidate his moved to a location covered by another office or to a post-secondary setting where their needs can be better met through on-site provision of services. In these circumstances, it is appropriate to transfer the case file.

8. SHARED CASES

A case may be served by two State VR agencies as long as there is an agreement regarding the services provided to avoid duplication of services, and both agencies receive copies of the IPE and authorizations. The office supervisor can apprise the RSB Bureau Chief of the situation as needed.

The Memorandum of Agreement (MoA) between the Iowa Department of the Blind (IDB) and IVRS should be utilized whenever a case is shared between these two entities. When IVRS staff receive a referral on an individual who is blind or has a vision impairment, IDB should be consulted. IVRS staff can proceed with an orientation for IVRS services and initiate the application process, however, the consultation with IDB will assist staff in understanding which entity could most appropriately serve the individual. When it is determined that the case should be served through IDB, the IVRS case file may be closed in the appropriate status and a photocopy of the material in the



file sent to the IDB. Cases may be shared by both agencies for jointly operated/provided programs such as Iowa Self-Employment (ISE) and Transition Alliance Program (TAP). When IDB job candidates are interested in learning more about the ISE program, it is appropriate for them to attend an IVRS ISE orientation prior to opening a case file with IVRS. This process allows them to understand the ISE process and determine whether or not they are interested in pursuing this service prior to having to complete the ISE paperwork.

For shared TAP cases, an IVRS Resource Manager should be notified so they are aware of the shared case for purposes of contracting.

Regardless of the type of shared case, original case files are never sent outside the IVRS agency. Collaboration is key in all shared cases and this can be accomplished either in person or through various technologies. Please refer to the appropriate MoA for further information regarding the process of sharing cases, including case file materials.

9. CLIENT ASSISTANCE PROGRAM

At application, closure, and at significant decision-making points while the file is open, the job candidate should be told about his/her right to contact and possibly receive assistance from the [Client Assistance Program \(CAP\)](#). The job candidate should also be informed that CAP is located at the Iowa Commission of Persons with Disabilities, Department of Human Rights, Lucas State Office Building, 321 E. 12th Street, Des Moines, Iowa, 50319, and telephone contact can be made toll free by calling 1-800-652-4298, or in Des Moines 515-281-3656 (voice) or 515-281-3164 (TTY). More information about CAP can be found in the [CAP](#) policy.

10. POLICY DEVELOPMENT AND APPROVAL

The Coordinating Council (CC) and the Resource Team develop and approve policy. It is then submitted to the State Rehabilitation Council (SRC) for input. Staff are encouraged to ask questions, seek guidance, and suggest improvements to policy. Suggestions can be directed to and discussed with any member of the Council. Staff are encouraged to put questions and recommendations in writing so that clear understanding of the concept is presented and discussed in order for a decision to be made regarding the



policy in question. If staff receive suggestions from job candidates, partners, or others outside the agency the information should be requested in writing and submitted to any of the committee members. Any staff person may request that an item be placed on the agenda. They also may request an opportunity to meet with the CC to discuss an issue. An attempt will be made to respond to all suggestions and questions.

11. CORRECTING DATES OF CASE ACTIONS

There are times when information entered into IRSS needs to be backdated to match the date(s) on forms contained in the official case record. Generally, case events may be backdated within the same program year (July 1 to June 30). No case event can be backdated prior to the last case event listed on the case history page in IRSS including status changes, form entry (presumptive eligibility, extensions and IPEs) and case transfers. The following actions require supervisory approval:

- a. Files closed in Status 08-0, 26-0, 28-0, 30-0, or 38-0 require review and approval by the supervisor to remove the closure. Cases closed in a previously reported quarter cannot be removed unless it is the result of an appeal decision. If a job candidate is appealing a decision to close a case, the case should be left in an interrupted status until the appeal has been resolved.
- b. If it is discovered that there is a duplicate case and/or Potentially Eligible record for the same job candidate, IVRS staff should contact IRSS Support to determine which case or record should be retained. When possible, IRSS Support will assist with combining duplicate cases and/or records and delete the unnecessary case and/or record.
- c. When an error is discovered in IRSS, the error is analyzed to determine whether correcting the error improves the accuracy of data required for reporting or is needed to improve service delivery for the job candidate. Examples of items that will be corrected include an inaccurate date of birth or Social Security number, a date of application that has not been reported to RSA or an approved form that was entered on the wrong case record. Examples of items that will not be corrected include a status change from 10-0 to 10-1 resulting from the expected graduation date not being entered in IRSS or a change in the case owner of a closed case.



12. TRANSMITTAL OF CLOSURES

Send cases to Administrative Services Bureau, ATTN: Statistical Section. Files should be forwarded as soon as possible after they are closed, but no later than 20 days after the end of the month in which they are closed.

13. EXCEPTIONS

IVRS has a method of allowing for exceptions for all guidance and standards, unless the exception would violate State or Federal laws. Listed below are those pieces of the IVRS process that are required in law and cannot be considered for an exception. Any IRSS IVRS staff can complete the form to request an exception. When a form is completed, this should be sent to the supervisor for approval. If the IVRS staff that is completing the form works directly with an IVRS counselor, then that counselor should also be included in this communication. Exceptions may only be approved by a supervisor.

Counselors are not obligated to support an exception. When a job candidate requests an exception, the Request for Exception to Policy form is completed. The counselor indicates whether the counselor agrees or disagrees with the request. The form is then submitted to the area office supervisor who will review it and determine whether the exception is approved or denied. The form allows for space for both the counselor and the supervisor to document their reasons behind the decision. If the exception is denied, the job candidate must be informed of their right to the appeal and mediation process.

Because these items are a part of the federal law an exception cannot be granted for:

- a. Eligibility requirements (disability, substantial impediment to employment, requiring VR services);
- b. Required content of the IPE;
- c. Identification of extended services in supported employment cases;
- d. Paying for extended services beyond the Federal limits;
- e. Being in employment and in status 22-0 for at least 90 calendar days prior to status 26-0 closure;
- f. Status progression, restrictions, and timeframes, such as eligibility in 60 calendar days or a signed extension;



- g. Status 26-0 being in competitive integrated employment;
- h. SSDI/SSI recipients being automatically eligible;
- i. Providing intensive services while an individual is on the waiting list, other than those allowed for Potentially Eligible;
- j. Establishing a durational residency requirement before services can be provided;
- k. Setting an arbitrary limit on the amount of money that can be spent on a job candidate;
- l. Setting an arbitrary limit on the length of time an individual can be a job candidate;
or
- m. Providing services beyond what is required for job retention when the job candidate was moved into service, bypassing waiting list placement, in order to save the job; or not returning the individual to the waiting list when in a category not being served when further services are requested.

14. EXCEPTION PROCESS

IVRS staff will review the exception policy with the job candidate. In reviewing the policy, staff will emphasize that they cannot approve anything that is outside their authority to authorize and as such commitments are only made after supervisory approval. Any time a job candidate is dissatisfied with an agency policy, they should be informed that they can request an exception to policy.

When requesting an exception, the agency representative under the direction of a counselor shall develop a case note detailing the reasons they believe the exception is warranted and provide income verification to the supervisor for consideration. The Request for Exception form is completed for this purpose. The form is submitted to the supervisor for a decision. The form will be filed in the financial section of the file.

The agency representative should be careful to explain to the job candidate in advance that a request for an exception is no guarantee that it will be approved. The supervisor will indicate the decision by entering a separate case note on the exception request form. A request for an exception that is denied can be appealed to an impartial hearing officer or resolved through mediation or agency review.



15. STANDARDS FOR CONSULTANTS AND SERVICE PROVIDERS

IVRS utilizes qualified personnel who determine eligibility and provide services to job candidates. This section describes those vendors and partners with whom services are arranged, or from whom services are purchased for job candidates for eligibility and determination or delivery of IPE services. Fees paid for services are consistent with the Disabilities Determination Services Bureau Medicare rate fee structure. The [R-406 Financial Inventory](#) is not used for any eligibility determination service. Comparable services and benefits are searched for and used in all of the below. The services listed below would be limited to specific needs and not authorized in excess of what is required for the purpose with which it is being authorized. IVRS staff should utilize the guidance of the doctor or professional whenever possible as part of the determination of the length or amount of services required:

- a. **Acupuncture:** These services may be purchased when a job candidate is under an IPE. These services may only be purchased from a Licensed Acupuncturist and as prescribed by a Chiropractor or the medical records show that other treatment has not been effective and is recommended. The R-406 is used to determine financial support for treatment.
- b. **Audiological:** These services will be purchased only from persons licensed as Audiologists. These services can be used for eligibility and planning. Diagnoses related to hearing can be used for eligibility. The R-406 is used to determine financial support for treatment and purchase of devices.
- c. **Chiropractic:** The services of a Chiropractor can be used in the determination of eligibility for IVRS services and treatment may be provided as an integral part of the IPE. Only Licensed Chiropractors may be used. Treatment is limited to a specific medical need and is not used for medical management. The R-406 is used to determine financial support for treatment.
- d. **Dental Diagnosis and Treatment:** These services are authorized to and accepted only from Licensed Dentists and are used only in planning. The R-406 is used to determine financial support for treatment and dental appliances.



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- e. **Driving Evaluations:** These services may be purchased only from persons certified as Driver Rehabilitation Specialists. They may be purchased when a job candidate is under an IPE. The R-406 is used to determine financial support for treatment.

- f. **Drug and Alcohol:** The services of a Certified Drug and Alcohol Counselor may be used by IVRS when working in a facility approved by the Department of Public Health. These services include using the information for eligibility. Ongoing services should be referred to an aftercare program and are the responsibility of the individual.

- g. **Educational Services:** These services include the response to intervention approach to assessment to determine if a student is entitled to special education services. Evidence documenting that a student has been a recipient of special education services in elementary and secondary school as documented by educational records and Individualized Education Programs (IEPs) are used to assign an RSA disability code for an impairment.

- h. **Hypnotherapy Treatment:** This may be purchased by IVRS when administered by a Licensed Medical Doctor or a Licensed Clinical Psychologist when such services are recommended by the job candidate's managing Physician. The R-406 is used to determine financial support for treatment.

- i. **Medical Diagnosis and Treatment:** These services are authorized to and accepted only from licensed Physicians, Physician's Assistants, and Licensed or Registered Nurse Practitioners. When specific medical specialist exams or treatments are needed, those will be arranged only through persons qualified by training and experience to perform the specific services required. Diagnosis for eligibility may be accepted from those individuals as well as used in planning. The R-406 is used to determine financial support for treatment.

- j. **Native Healing Practitioners:** The agency may utilize the services of Native Healing Practitioners who are recognized as such by an Indian tribe when services are being provided to American Indians with disabilities and the native healing practitioner

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services are necessary to achieve the individual's vocational rehabilitation objective. Other diverse cultures may have their own native healing practitioner and should be considered for individuals who are part of those diverse groups. The R-406 is used to determine financial support for treatment.

- k. **Optometric Services:** These may be provided by either an Optometrist or Ophthalmologist, depending upon the specific services needed by the job candidate. The person providing the service must be qualified by training and experience to perform that specific service, and be licensed by the State. The R-406 is used to determine financial support for treatment and appliances.
- l. **Physical and Occupational Therapists:** These individuals must be licensed by the state in which they are providing the service. The R-406 is used to determine financial support for treatment and medical supplies.
- m. **Prosthetic/Orthotic:** Services of this nature will be arranged for and purchased only from persons appropriate to the service to be provided. This service is only used in planning. The R-406 is used to determine financial support for treatment.
- n. **Psychological Services:** These services include assessment and diagnosis, testing, counseling, and other related services. They may be obtained only from persons licensed by the state in which they are providing the service and are licensed as Psychologists, persons on the Iowa School Psychologists Registry, Licensed Independent Social Workers (LISW), Licensed Mental Health Counselors (LMHC), Licensed Marriage and Family Therapists (we do not accept temporary licensure), or a Medical Doctor (M.D. or D.O.) qualified by training, experience and board certification in the field of psychiatry in cases where there are medical aspects to the psychological problems. Persons employed by the State of Iowa as psychologists are not required to be licensed or certified for their reports to be used by IVRS. Reports from a Physician's Assistant or Licensed or Registered Nurse Practitioner supervised by a psychiatrist are also acceptable, generally documented by being employed by a mental health facility. The R-406 is used to determine financial support for treatment.

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- o. **Speech Therapy:** This service will only be purchased from persons licensed in this field by the state in which they are providing the service. The R-406 is used to determine financial support for treatment and augmentative devices.

- p. **Training and Instruction:** Services involving training and instruction for job candidates shall be provided through institutions and individuals which meet the instructional and certification requirements in the particular service area. If questions arise regarding a particular instructor or institution, the accreditation or certification board for that particular field shall be consulted and their recommendations sought on that particular question. For programs in other states, the state VR agency should be contacted to see if they would use the program. The R-406, budget worksheet, and financial aid award letter are all used to determine financial support depending on the type of training and instruction.

IVRS makes medical, psychological, and psychiatric consultation available as needed. When needed, the supervisor in the office should contact the Assistant Bureau Chief of the Disability Determinations Bureau to request a consultation. The consult must identify the specific question(s) and issues in the case that require clarification and guidance in order for the appropriate DDS medical professional to review the case at a review level cost.

16. GENERAL STANDARDS AND PROVISIONS RELATING TO SERVICES

- a. **Age:** No upper age limit will be established which will, in and of itself, result in a finding of ineligibility for any individual who otherwise meets the basic eligibility requirements. The lower age limit is 14 years of age established by the Iowa Department of Education for transition. Age must follow the work rules in the State of Iowa.

- b. **Citizenship:** Individuals who present proper credentials permitting work, or whose status can be properly clarified with the Immigration and Naturalization Service, will not be excluded so long as they will, under normal circumstances, be available to



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- complete a rehabilitation program, including employment in a suitable occupation and are legally able to work in the United States.
- c. **Civil Rights:** Eligibility requirements will be determined without regard to gender, race, age, creed, color, type of disability, sexual orientation, or national origin.
 - d. **Disability:** No group of individuals will be excluded or found ineligible solely on the basis of type of disability. Individuals who are legally blind or have a vocational visual impairment will be referred to the IDB for services.
 - e. **Economic Need:** The economic circumstances of an individual is not a factor in determining eligibility for vocational rehabilitation services. Economic need is not considered for any non-fee schedule service for those who are eligible for SSDI/SSI.
 - f. **Native Americans:** Vocational rehabilitation services are provided to Native Americans with a disability residing in the State to the same extent that those services are provided to anyone else.
 - g. **Residence:** No durational residence requirement will be imposed which excludes from IVRS services any individual who is present in the State and available for services.
 - h. **Responsibility:** All decisions affecting the nature and scope of IVRS services and the provision of those services are made by members of the IVRS staff in consultation with the job candidate. This responsibility will not be delegated to any other agency or individual.

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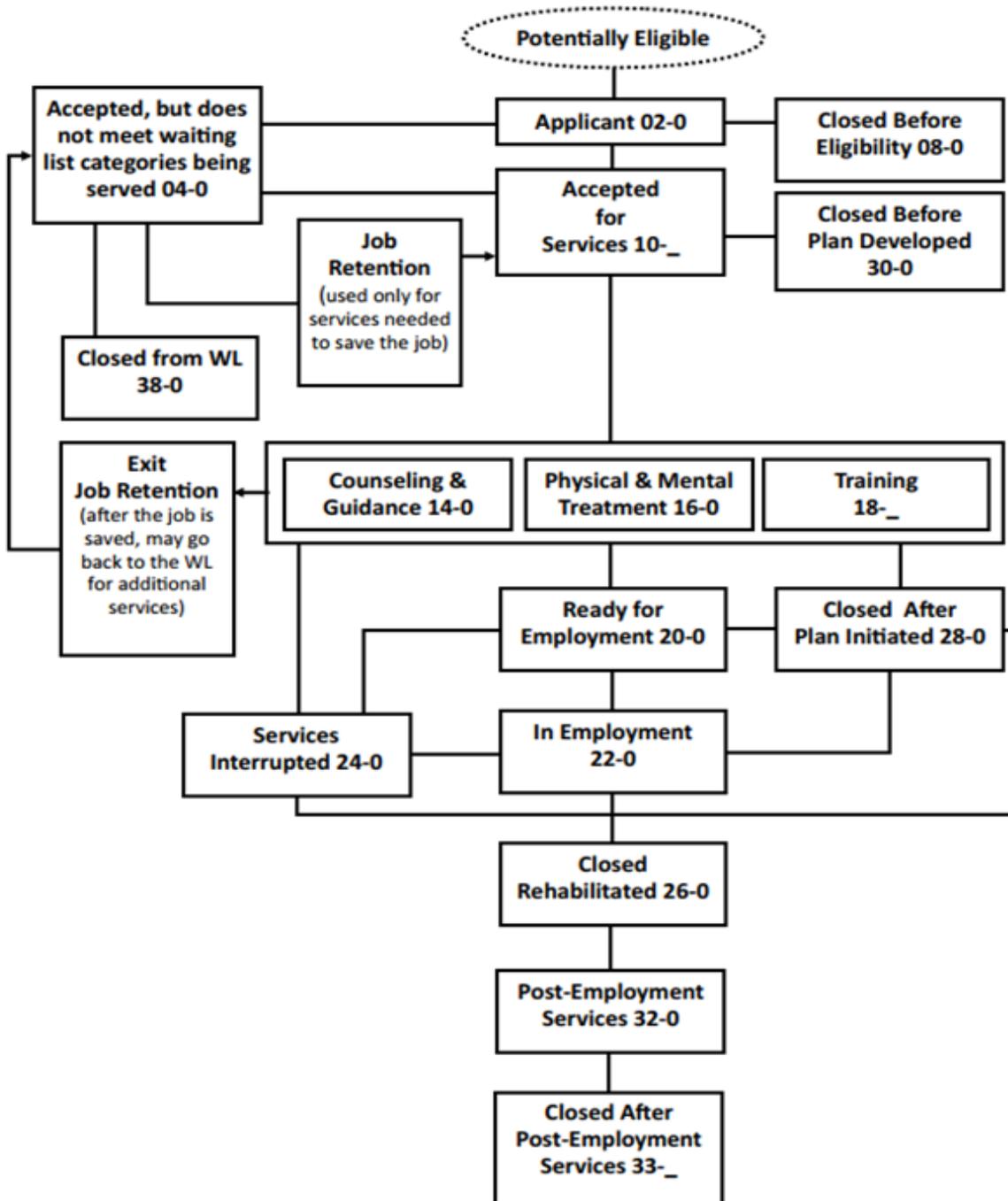


17. CASE STATUSES

00-0	Referral for Services
02-0	Applicant
04-0	Waiting List
08-0	Closed Before Acceptance (from Status 02-0)
10-	Accepted for Services (Plan Development)
10-0	Adults
10-1	High School Students
14-0	Counseling and Guidance Only
16-0	Physical and Mental Restoration
18-	Training
18-1	Work Adjustment Training/Assessment
18-2	On-the-Job Training
18-3	Vocational-Technical
18-4	Academic
18-5	Secondary Education
18-6	Supported Employment Job Coaching
18-7	Other (i.e. non-supported employment job coaching, job development, ISE)
20-0	Ready for Employment
22-0	Employed
24-0	Services Interrupted
26-0	Closed Rehabilitated
28-0	Closed After Program Initiated (from Status 14-0 through 24-0)
30-0	Closed Before Program Initiated (from Status 10-_)
32-0	Post-Employment Services (from Status 26-0)
33-	Closed After Post-Employment Services (from Status 32-0)
33-1	Person Returned to Suitable Employment/Employment Situation Stabilized
33-2	Case Reopened for Comprehensive VR Services
33-3	Situation Deteriorated/Further Services or no Assistance
38-0	Closed From Status 04-0



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