



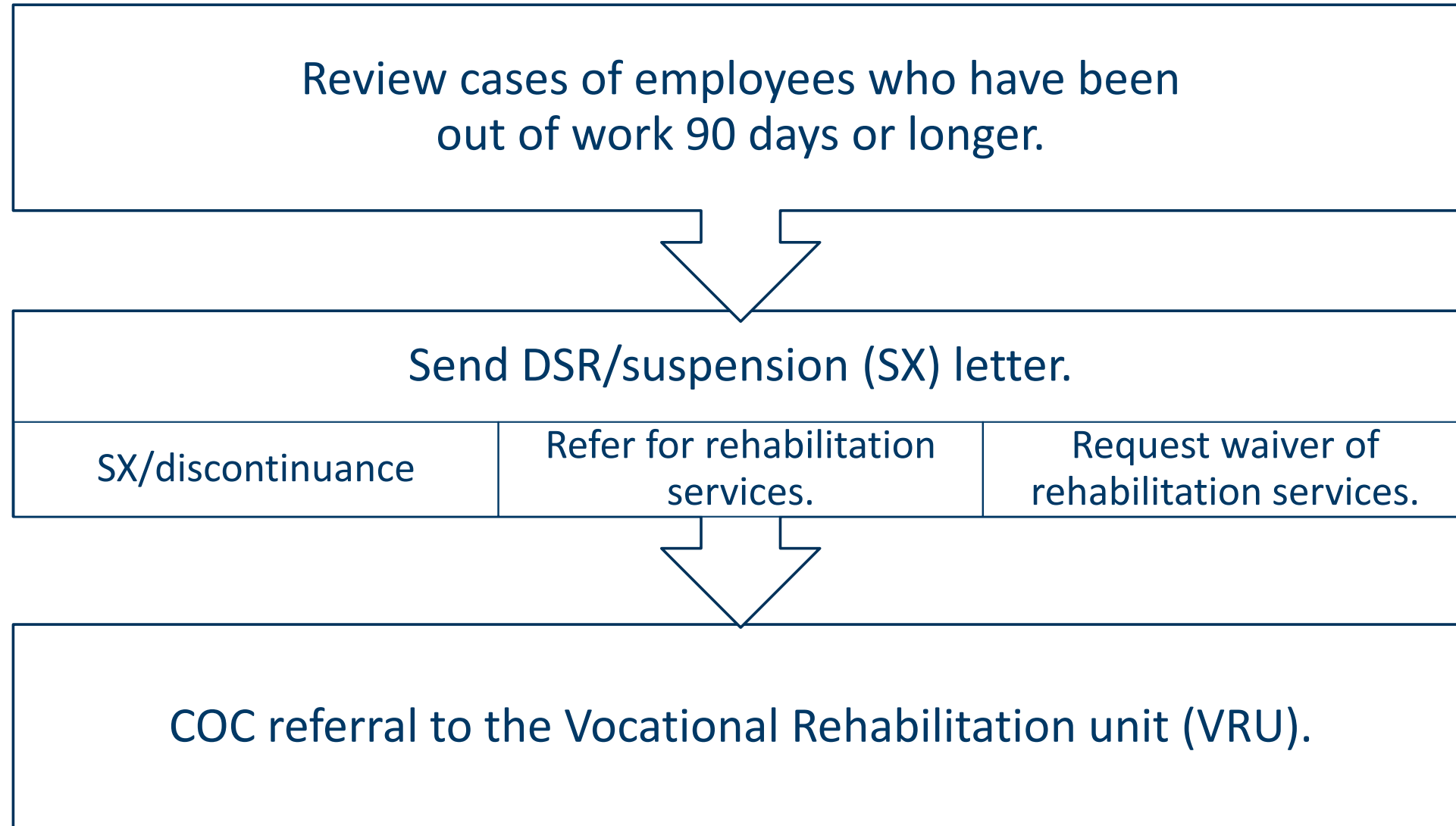
Compliance in R-form filing

Jordan Trumbo | Rehabilitation policy specialist

Agenda

- Review Disability status report (DSR) and R-form review processes.
- Review R-form review findings.
- Review other compliance processes.
- Goal is to understand compliance processes and needs in rehabilitation services.

DSR/commissioner ordered consultation (COC) process



R-form review process

- Review cases from:
 - DSR/COC process and other reports.
- Review for all areas either after plan progress report (PPR) is filed or after case is closed with additional reviews as needed.

Late rehabilitation consult filings

- 5220.0130, subp. 2: If the employee, employer, or commissioner requests a rehabilitation consultation, the insurer shall arrange for a rehabilitation consultation by a qualified rehabilitation consultant to take place within 15 calendar days of the insurer's receipt of the request.
- 5220.0130, subp. 3(D): The assigned qualified rehabilitation consultant shall complete and file with the commissioner a rehabilitation consultation report within 14 calendar days of the first in-person meeting with the employee for the purpose of a rehabilitation consultation, or the first telephone conference if permitted by subpart 2.

Claim shell process

Rehab Consultation Report (RCR)

1

Locate a Claim

2

Report Details

Tell us more about the claim you are filing to.

We're having trouble locating this claim. This may be because...

- The information you provided does not exactly match a claim
- You're unauthorized to access this information
- We were unable to narrow down the results with the information you provided

We need a few details about the claim. Fill out the information below to proceed to your filing.

Claim details

Date of Injury * Date of Injury (mm/dd/yyyy)	Cause of Injury	Nature of Injury	Type of Loss
Employee Social Security Number (SSN) Social Security Number (SSN)	PIN PIN	Employee ID (WID) Employee ID (WID)	Date of Birth * Date of Birth (mm/dd/yyyy)
First Name * First Name	Middle Name Middle Name	Last Name * Last Name	Suffix
Phone Type	Phone Country Code United States (+1)	Phone Number Phone Number	Phone Extension Phone Extension
Email Address Email Address			
Address 1 Address 1			
Address 2 Address 2			
☐ Outside US			
Postal Code Postal Code	City City	County County	
State Province	Country United States		

Employer

If you are unable to find the related Employer via the look-up please select 'I can't find a matching employer' and provide the employer details you know.

Employer Lookup * ☐ I can't find a matching employer

Insurer

If you are unable to find the related Insurer via the look-up please select 'I can't find a matching insurer' and provide the insurer details you know.

Insurer Lookup * ☐ I can't find a matching insurer

Late rehabilitation R-2 filings

- 5220.0410, subp. 3: Upon preparation of the proposed plan, and within 30 days of the first in-person contact between the assigned qualified rehabilitation consultant and the employee, the assigned qualified rehabilitation consultant shall provide to all parties a copy of the proposed rehabilitation plan.
- 5220.0410, subp. 5: The assigned qualified rehabilitation consultant shall file the rehabilitation plan with the commissioner within 45 days of the first in-person contact between the qualified rehabilitation consultant and the employee or within 15 days of circulation to the parties, whichever is earlier.

R-2 findings

- Inconsistencies in Rehabilitation Consultation Report (RCR) determination and R-2 goals.
- Copies with signatures or evidence that documents were circulated missing.
- Ways to show documents were circulated to parties include:
 - fax cover sheets
 - emails
 - filing letters
 - copy of plans with signatures

R-3/Plan progress report (PPR) findings

- PPR filed, but too early.
- R-3 filed, but PPR questions not answered.
- 5220.0450, subp. 3 (A) - The assigned qualified rehabilitation consultant shall file the six-month plan progress report with the commissioner within 15 days after six months have passed from the date of the filing of the rehabilitation plan. However, the plan progress report is not required to be completed if a plan amendment containing the information in subpart 2, items A to E, is filed within 15 days before or after six months have passed from the date the rehabilitation plan was filed.

R-3/PPR findings continued

File the Plan Progress Report (PPR) Concurrently with this R-3

You may file the Plan Progress Report (PPR) concurrently with this R-3 when filing within 15 days before or after six months have passed from the date the R-2 Rehabilitation Plan form was filed. This means that by the time these forms are filed, the parties must already have signed the R-3 or the R-3 must have already been in circulation to the parties for 15 days. If all signatures are not obtained within the filing deadline, attach evidence of the date the plan was sent to each nonsigning party. See Minn. Rules 5220.0450, subp. 3(A).

It is within 15 days before or after six months since the R-2 was filed.

☐ File PPR Concurrently

File the Plan Progress Report (PPR) Concurrently with this R-3

You may file the Plan Progress Report (PPR) concurrently with this R-3 when filing within 15 days before or after six months have passed from the date the R-2 Rehabilitation Plan form was filed. This means that by the time these forms are filed, the parties must already have signed the R-3 or the R-3 must have already been in circulation to the parties for 15 days. If all signatures are not obtained within the filing deadline, attach evidence of the date the plan was sent to each nonsigning party. See Minn. Rules 5220.0450, subp. 3(A).

It is within 15 days before or after six months since the R-2 was filed.

☒ File PPR Concurrently

Please answer the questions below to fulfill all requirements for the PPR

Is the Employee released to return to work?

Released to Return to Work *

Medical Report Date *

Medical Report Date

(mm/dd/yyyy)

Current Work Status

Do barriers to successful completion of the rehabilitation plan exist? If yes, attach a narrative report, including the barriers and the measures to be taken to overcome the barriers to this form

☐ Barriers Exist

R-3/PPR findings final

- No evidence of plans being circulated.
- R-3's being filed to withdraw/refer to VRU.
- 176.104, subdivision 1: If the sole dispute is regarding discontinuance of compensation, an employee eligible for rehabilitation services may be referred to the Vocational Rehabilitation Unit only after the employee or employer has filed an objection under section 176.238, subdivision 6, to the administrative decision on discontinuance. The services provided by the department's Vocational Rehabilitation Unit and the scope and term of the rehabilitation are governed by section 176.102 and rules adopted pursuant to that section. Rehabilitation costs and services under this subdivision shall be monitored by the commissioner.

R-3/Change of QRC

- If you are the new QRC following an RCR determination and plan, it's important to file the R-3/Change of QRC as soon as possible.
- Remember to file a Change of QRC instead of starting a new case in Campus.
- R-2 needs to be filed before R-3.
 - Pursuant to Minnesota Statutes, section **176.102**, subdivision 4, the employee has a right to choose a qualified rehabilitation consultant as defined in part **5220.0100**, subpart 23, once at any time in the period beginning before the rehabilitation consultation and ending 60 days after filing of the rehabilitation plan.

R-8 findings

- Closures could have been completed sooner.
- 5220.0510, subp. 7: The assigned qualified rehabilitation consultant shall file a rehabilitation plan closure report on a form prescribed by the commissioner within 30 calendar days of knowledge that:
 - A. the employee has been steadily working at suitable gainful employment for 30 days or more, or the time period provided for in the plan;
 - B. the employee's rehabilitation benefits have been closed out by an award on stipulation/mediation;
 - C. the employee and insurer have agreed to close the rehabilitation plan;
 - D. the QRC has been unable to locate the employee following a good faith effort;
 - E. the employee has died; or
 - F. the commissioner or a compensation judge has ordered that the rehabilitation plan be closed and there has been no timely appeal of that order.

Other findings

- Limited data on retraining plans, OJT and provision of job placement services.
- Eligibility determinations were consistently appropriate.
- Services provided on R-2's and R-3's were appropriate for the person's listed goal and restrictions.
- Narratives for RCR's, R-2's and PPR's show good support or service provision.
- Reasons for closure consistently appropriate.

Request for information (RFI) process



Date: 07/08/2026

JCN number: Claim Number
Employee: Client Name
Date of Injury: Date of Injury

Please submit all responses and required documents through Campus. If we do not receive a response within 30 days, penalties may be applied as outlined in Minnesota Statutes § 176.231 subd. 10 and Minnesota Rule 5220.2830, subp. 2.

Dear Qualified Rehab Consultant,

This is a Request for Information (RFI) on the claim above, and our records indicate that you received a DSR referral for or are the assigned QRC for this claim. If you are not responsible for the claim shown above, please response in writing to this RFI.

The Workers Compensation Division request the following:

- Rehabilitation Consultation Report (RCR)/Narrative Report (Minnesota Rules Part 5220.0130)
- R-2 Rehabilitation Plan/Initial Evaluation Report (Minnesota Rules Parts 5220.0410 and 5220.1803, Subp. 5)
- R-3 Rehabilitation Plan Amendment (Minnesota Rules Part 5220.0510)
- PPR Plan Progress Report (Minnesota Rules Part 5220.0450)
- R-8 Rehabilitation Plan Closure, if the plan is closed. (Minnesota Rules Part 5220.0510, subp. 7)

Thank you for your anticipated cooperation.

Jordan Trumbo, MS, CRC

Rehab Policy Specialist | Compliance, Records, and Training
(She/Her/Hers)

Minnesota Department of Labor and Industry

443 Lafayette Road N.
St. Paul, MN 55155
O: 651-284-5153

- Encrypted email
- Subject “This is a request from Minnesota Compliance, Records and Training”
- Sample email body

Penalties

- Minnesota Statutes section 176.231, subdivision 10: If a qualified rehabilitation consultant or rehabilitation vendor . . . fails to file with the commissioner any report or other document required by this chapter in the manner and within the time limitations prescribed, or otherwise fails to provide a report or other document required by this chapter in the manner provided by this chapter, the commissioner may impose a penalty of up to \$500 for each failure.
- Minnesota Rules part 5220.2830, subpart 2: If a report is not filed in the manner or within the time limitations prescribed, a penalty may be assessed under Minn. Stat. section 176.231, subd. 10, as follows:
 - 1) if more than 30 days after the date due, \$125;
 - 2) if more than 90 days after the date due, \$375; and
 - 3) if more than 180 days after the date due, \$500.

Professional conduct and accountability (PCA) conduct process

- Usually occurs following a written complaint to the department.
- Review and investigation to determine if standards of performance and professional conduct outlined in Minnesota rule have been violated.
- Potential outcomes: unsubstantiated, letter of instruction, fine per statute, suspension, and revocation of registration.

Summary

- Review DSR and R-form review processes.
- Review R-form review findings.
- Review other compliance processes.
- Goal is to understand compliance processes and needs in rehabilitation services for excellent services provision moving forward.

Resources

- Campus external user manual
 - [Campus External User Manual](#)
- Minnesota rehab rules
 - [revisor.mn.gov/rules/5220/](#)
- Minnesota rehab statutes
 - [revisor.mn.gov/statutes/cite/176.102](#)
- Rehab FAQ's
 - [dli.mn.gov/business/workers-compensation/faqs-rehabilitation-providers](#)

Thank you

Jordan Trumbo, MS, CRC
jordan.trumbo@state.mn.us
651-284-5153