

South Central Workforce Development Board (SCWDB)



POLICY: CASE NOTES

EFFECTIVE DATE: NOVEMBER 11, 2021

POLICY NUMBER: 2021-30

SUBJECT: Case Notes

PURPOSE:

To establish a policy for documenting notes in the case management system for WIOA eligible Adult, Dislocated Worker and Youth participants.

Effective case notes enable customers to be well served even in the event of staff changing, provide necessary back-up documentation in the event of complaints and thus should be developed in consideration of the audience that will be reading the case notes. Case notes must show interaction between the customer and career planner and show results. The content of case notes should include information that accurately describes the services provided and the individual's experiences. Case notes should tell a story of the participant's journey through service programs into self-sufficiency. They should document progress, identify barriers, describe the interaction between the participant and the career planner, provide a description of the assistance the career planner has provided and show how barriers were overcome.

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ACTION REQUIRED:

Within 15 days of the receipt of this policy, it is the recipient's (e.g., vendors, contractors and partners when applicable) responsibility to ensure all staff are informed of the policy and to create an internal process to ensure accountability.

BACKGROUND:

Grantees, subrecipients, and contractors funded under the Workforce Innovation and Opportunity Act (WIOA) must abide by WIOA law, regulations, and guidance, all applicable Office of Management and Budget (OMB) Circulars, state regulations in laws and rules, Kentucky Revised Statutes, and State WIOA policies.

Basic to this approach is the on-going maintenance of detailed case notes on WIOA or other services provided to each program participant. Case notes give an accurate record of actions taken, the reasons behind those actions, the expected results, and the actual outcomes. Case

notes create an electronic record should questions arise about how the case was handled and may be used in the event of legal action.

POLICY:

Effective case management practices include comprehensive case notes. Case notes document details about intake, assessments, participation, outcomes, service program decisions, one-on-one meetings or other means of contact, achievements and follow-up services. The purpose of case notes is to provide a detailed description of an individual's participation in services. Case notes will be written at the time of the event or contact and entered in the case management system as soon as possible, not exceed 10 business days.

Each participant will have case notes in the case management system documenting relevant information beginning with intake and continuing through case management, training, and follow-up services.

Detailed case notes will individualize the participant and should include at minimum the following:

- The needs of the customer;
- History and details of the customer's situation, including both strengths and barriers;
- Activities provided or those planned to be provided (if applicable)
- Description of how the customer will benefit from these activities/services
- Details of significant events;
- Need for modification in the customer's training or other service program (if applicable)
- Information provided verbally or through other means of communication by the service providers
- Customer's progress toward goals
- Need for additional services (including effort made to obtain other resources prior to providing WIOA funded services);
- Any new information pertaining to customer's employability; and
- documenting post-exit outcomes

Case notes should be specific, reflect observations and facts, and not contain derogatory comments, opinions, or judgments. Case notes are the primary source to justify WIOA or other services provided. The following provides guidance for case notes requirements in the case management system for WIOA service programs.

- Be written no less than monthly for individuals who are active or enrolled in any WIOA service programs.
- Document Work Experience/Internships and On-the-Job Training contact that is required to be made within the first week the customer is on the worksite and at minimum every 30 days thereafter to ensure success. For customers that require more attention, more frequent contact should be made and documented.
- Document training provider
- Document follow-up services provided to the participant no less than monthly for individuals who have exited and are in 12-month follow up.
- Document any post-exit credentials and employment information
- Document job search activities, such as job referrals and other employability skills training provided, including hiring event/job fair notifications and assistance with resume.

Applicable Federal Laws and WIOA Regulations:

Public Law 113-128, Workforce Innovation and Opportunity Act of 2014, Section 185(a); 2 CFR 200.333-337; 29 CFR 37.37 and 29 CFR 97.42; KCC Case note Policy #16-027

Approved:

11-4-2021
Date of Governance
Committee Approval

11-11-21
Date of Approval

Signed by:

Michael Mudd
Chair, Governance Committee

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