

Purpose

The purpose of this policy is to provide staff with guidance on the local case note requirements under the Workforce Innovation and Opportunity Act (WIOA).

Background

The WIOA is designed around a case management approach, and case notes are an essential component of effective case management practices. They are used to document and maintain information about the participant, their progress, and the process and rationale for providing services to the individual. Case notes serve a variety of purposes, such as justification, documentation, and record-keeping.

There are five standard categories of case notes related to WIOA case management practices as follow:

- Demographic information;
- Data element validation;
- Program eligibility and enrollment;
- Service planning, entry and tracking, and
- Performance and outcomes.

Policy

Staff will use case notes to provide a complete, accurate, and concise explanation of their interaction with the participant, as well as type of services provided and the outcomes associated with those services. Although services provided to the participant are documented by entering information into the case management system, additional information is needed so that another case manager to whom a case is transferred, or a program monitor reviewing services, will be able to understand the history of a case.

Case notes should be written so that the reader has background information on the participant, as well as the purpose of meetings, and where, why, and how contact took place. All conversations and events, including e-mails, phone or in-person contact, should be recorded in a case note as soon as possible after their occurrence (no later than 24 hours after the occurrence). Case notes are required for both WIOA core programs and non-core programs such as grants (i.e. NDWG). Case notes must provide an auditable trail back to the source information verified. There may be cases where documentation cannot or may not be copied, and/or is not readily obtainable. In these cases, the information can be verified by telephone and the case notes must contain the contact information and specific details.

Example: “August 15, 2013. Called Dept. of Corrections, spoke with Sgt. X who verified that Mr. Y was incarcerated between January 25 and March 16, 2013.”

Case Note Information

The information contained in a case note and the format followed depends on the purpose of the case note and the type. Different styles of case notes are appropriate for different services. Case notes refer to statements by the case manager that identify, at a minimum, the following:

- A participant's status for a specific activity code, appointment, etc.
- The date on which the information was obtained.
- The case manager who obtained the information.

In general, case notes for an individual client should provide the following information:

- History and details of the individual's situation, including both strengths and barriers.
- The individual's need for WIOA services.
- WIOA activities planned or provided to individual.
- A description of how the individual will benefit from WIOA activities.

Additionally, all case notes should record specific details in certain circumstances, including:

Eligibility Determination:

- General, Adult and/or Dislocated Worker eligibility criteria meet.
- The individual's status for a specific data element (ex. family size, income, etc.)
- Acceptable documentation and verification sources provided.
- Date on which the information was obtained

Objective Assessment:

- Individual's strengths and barriers.
- Career/Educational goals.
- Prior work experience.
- Supportive service needs.
- Skills, abilities and aptitude

Details of significant events in the individual's WIOA participation:

- The progress in WIOA services.
- The referrals to partner programs or activities.
- Any changes in original goals.
- Information provided orally by partners about individuals progress.

Information on contacts with the individual:

- Date and manner of the contact – face to face, individual or small group, phone call or email.
- Purpose of the contact.
- Any information provided orally by the individual.
- Outcomes of the contact – actions taken, decisions made, and assignments of tasks for next steps.

Case Note Content

In your case notes, you are not just representing yourself. Case notes are legal documents that also represent your local area. To ensure that your case notes are appropriate:

- Record facts only – behaviors you observed and statements you heard; don't make a diagnosis.
- Record facts accurately and completely.
- Never include judgmental opinions, stereotypical comments, or any offensive statements. Don't make any comment you couldn't defend in a court of law.
- If you must state an opinion relevant to the individual's WIOA participation and progress, be sure to label your statement as an opinion.
- Use clear, simple, concise language, including professional terminology as appropriate.
- Don't use slang or street language, clichés, or jargon.
- Don't make sarcastic comments.
- Avoid metaphors or similes; just say what you mean directly.
- Don't comment on details that are not relevant to the individual's participation.
- Summarize: don't transcript a conversation directly into the case note.
- Summarize: don't cut and paste from emails.

Case Note Frequency Requirements

Regular communication should be made based on the participants needs. Minimum contact should be made and case noted as follows:

- Once every 30 days for active participants (WIOA registered and assigned to ETC).
- Quarterly for all clients in follow-up, see Follow-Up Policy for details.
- The beginning and ending of a training cycle (semester, module, trimester, etc.).
- Closing of any activity or of the case file.

CalJOBS Entries

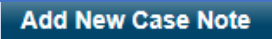
Individual Case Notes

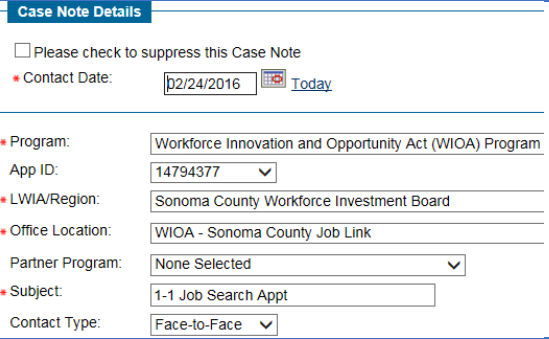
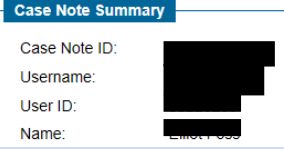
A case note should be created for each contact with a client (for both WIOA and universal clients). Examples of when to create a case note include:

- Registration,
- WIOA Eligibility,
- One on one appointments, etc.

A tool to help expedite the case note process is templates. CalJOBS has multiple case note templates available for eligibility, training approval, etc.

Step by step guide below:

Step 1	Once a client is being assisted in CalJOBS. Navigate to Staff Profiles – General Profile - Case Notes . In this section, case notes can be added, printed, viewed, and edited. (depending on your privilege setting).
Step 2	Select 'Add New Case Note' 

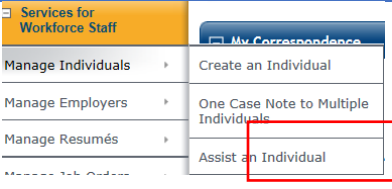
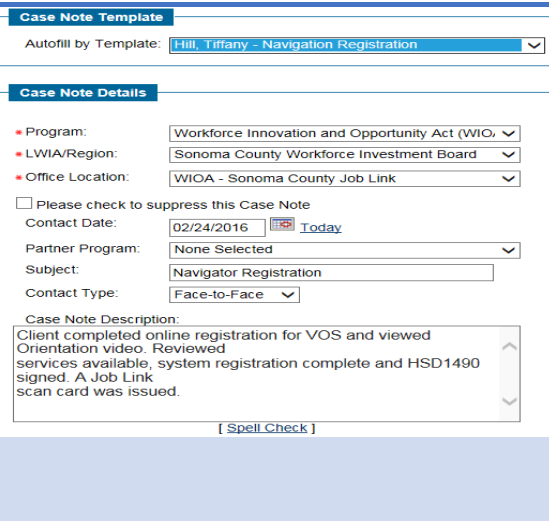
<p>Step 3</p>	<p>If applicable, select a case note template under Case Note Template section</p> <p>OR</p> <p>Complete the Case Note Details Section</p>	 <p>Case Note Details</p> <p><input type="checkbox"/> Please check to suppress this Case Note</p> <p>• Contact Date: 02/24/2016 Today</p> <hr/> <p>• Program: Workforce Innovation and Opportunity Act (WIOA) Program</p> <p>App ID: 14794377</p> <p>• LWIA/Region: Sonoma County Workforce Investment Board</p> <p>• Office Location: WIOA - Sonoma County Job Link</p> <p>Partner Program: None Selected</p> <p>• Subject: 1-1 Job Search Appt</p> <p>Contact Type: Face-to-Face</p>
<p>Step 4</p>	<p>Make sure to review the Case Note Summary section to ensure the right case is being noted.</p>	 <p>Case Note Summary</p> <p>Case Note ID: [Redacted]</p> <p>Username: [Redacted]</p> <p>User ID: [Redacted]</p> <p>Name: [Redacted]</p> <p>Note: Case notes can be deleted by MIS Administrator. Contact your supervisor for next steps.</p>
<p>Step 5</p>	<p>Enter case note in Case Note Description box and click Save</p>	

Case Notes for Multiple Clients

CalJOBS allows for staff to create one case note for multiple individuals. Examples of when to put in case notes for multiple clients:

- Workshops
- Orientation
- Job Fairs, etc

Step by step guide below:

<p>Step 1</p>	<p>Services for Workforce Staff – Manage Individuals – One Case Note to Multiple Individuals</p>	 <p>Services for Workforce Staff</p> <ul style="list-style-type: none"> Manage Individuals > Manage Employers > Manage Resumés > <p>My Correspondence</p> <ul style="list-style-type: none"> Create an Individual One Case Note to Multiple Individuals Assist an Individual
<p>Step 2</p>	<p>If applicable, select a case note template under Case Note Template section</p> <p>OR</p> <p>Complete the Case Note Details Section</p> <p>Click Search For Individuals</p>	 <p>Case Note Template</p> <p>Autofill by Template: Hill, Tiffany – Navigation Registration</p> <hr/> <p>Case Note Details</p> <p>• Program: Workforce Innovation and Opportunity Act (WIOA)</p> <p>• LWIA/Region: Sonoma County Workforce Investment Board</p> <p>• Office Location: WIOA - Sonoma County Job Link</p> <p><input type="checkbox"/> Please check to suppress this Case Note</p> <p>Contact Date: 02/24/2016 Today</p> <p>Partner Program: None Selected</p> <p>Subject: Navigator Registration</p> <p>Contact Type: Face-to-Face</p> <p>Case Note Description: Client completed online registration for VOS and viewed Orientation video. Reviewed services available, system registration complete and HSD1490 signed. A Job Link scan card was issued.</p> <p>[Spell Check]</p>

Step 3 Enter criteria for **Search Individual** such as Individual Registered within ____ days, case manager, etc. and click **Search**

Step 4 Select the individuals this case note is intended for and click **Continue**

User Name	First Name	Last Name	SSN	Vet	State ID	RTW	Last Exited	Created	Select
						N		02/24/2016	<input type="checkbox"/>
						N		02/24/2016	<input checked="" type="checkbox"/>
						N		02/24/2016	<input checked="" type="checkbox"/>
						N		02/24/2016	<input type="checkbox"/>
						N		02/24/2016	<input checked="" type="checkbox"/>
						N		02/24/2016	<input type="checkbox"/>
						N		02/24/2016	<input checked="" type="checkbox"/>
						N		02/24/2016	<input type="checkbox"/>
						N		02/24/2016	<input checked="" type="checkbox"/>
						N		02/24/2016	<input checked="" type="checkbox"/>
						N		02/24/2016	<input checked="" type="checkbox"/>
						N		02/24/2016	<input checked="" type="checkbox"/>

Step 5 Review the selected **Case Note Recipient(s)** section

- Add more recipients by clicking the **Search For Individuals** link
- Individuals can be removed from the list by clicking the **Remove** link in the **Action** column
- Click **Save** and the case note will be added to all selected individual's case files

Case Note Recipient(s)

Login Name	First Name	Last Name	Last 4 SSN	Include App ID	Action
				0	Remove
				0	Remove
				0	Remove
				0	Remove
				0	Remove
				0	Remove
				0	Remove

Page 1 of 1 Rows: 100

[\[Search For Individuals\]](#)

References:

- WSD 15-14
- WSD 22-03, Attachment 3
- TEGL 23-19, Change 1
- WIA Eligibility Technical Assistance Guide (TAG), EDD Workforce Services Division
- WIOA (Public Law 113-128) Section 116