

Policy Name: Case Notes

Policy Number: BGWIOA-N16-O10

Effective Date: October 12, 2016

Applies to: Adults, Dislocated Workers, Older Youth, Trade

1. **Purpose:** The purpose of this policy is to provide guidance to staff in maintaining an accurate record of services provided to participants, including documenting and justifying any decision made or action taken to provide case management services to eligible participants.
2. **Background:** 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.
3. **Definitions:**
 - EKOS – Employ Kentucky Operating System.
 - The following are examples of appropriate areas of reference for case notes:
 - Participant Needs – Clearly explain in the case notes entered in the Comp Assess tab in EKOS. Information from intake, interviews and the objective assessment can be woven together to explain participant needs. This should establish a clear picture of the individual, their particular life, circumstances, and needs, as well as, the barriers they face to employment. It is not intended to repeat previous information but to explain, through documentation.
 - Services Provided – Case notes entered in the Comp Assess tab in EKOS document how the mix of services offered addresses the needs of the participant. Case notes allow staff the opportunity to document the work they have done with each participant.
 - Tracking the Individual Employment Plan (IEP) – The participant's movement through program services should be tracked by staff, including changes in life situations, changes in training needs, accomplishments, and setbacks. The most efficient way to track changes is to write case notes that coincide with and augment the initial IEP and any subsequent revisions. The IEP should be outlined through the Comp Assess section in EKOS. Each applicable tab within the section should be completed and updated as information is available.
 - Meetings and Follow-up: Staff's interaction with the participant should be noted by the staff person involved in case notes in the Comp Assess tab in EKOS. In addition, the case notes can be utilized to highlight follow-up activity for each participant.
4. **Policy:** All participant files must contain up-to-date case notes in the Comp Assess tab in EKOS that document and explain why specific services and activities are provided to a participant. Case notes must include an assessment of the need for services, a plan outlining the services to be provided, progress made against the plan, and the intended and actual outcomes of the services delivered.

Case notes must also document, for each service provided, the need for allowable supportive services, and the effort made to obtain other resources prior to providing WIOA funded services. 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.

EKOS entries, including case notes, must be entered within 10 calendar days (five (5) days for Trade eligible customers).

5. **Procedures:**

Case notes must:

- Begin with "BGWIOA:" The system will automatically record the date of entry and the staff person's name.
 - Be written no less than monthly for individuals who are considered to be active or in training and no less than every 90 days for those participants considered to be in follow up.
- Document activities, including eligibility determination and the development of the participant's employment plan. Case notes should give a history of the participant's situation, barriers to employment, and services planned and received. Case notes should also describe how the participant will benefit from WIA services.
- Describe assessment(s) used and an analysis of the results of the assessment(s).
- Document active services by describing the services, the planned end date, and the expected results.
- Show the frequency of participant contact but be at least once a month for active participants and those who are in training and at least every 90 days for those participants in follow up. If the participant has not been contacted on a regular basis, staff must document why.
- Follow a sequence. If the case notes mention an issue, there must be follow up case notes to document resolution of the issue.
- Be concise and clearly highlight major areas of concern that appear to be keeping the participant from meeting their employment goal. Case notes should be fact based and identify concerns that are pertinent to the participant to receive services or continue in a training program.
- Document supportive services needs, other resources considered, and actions taken. When documenting supportive services, the case notes should include how the supportive services will benefit the participant. For example, bus tickets/pass will assist the participant with transportation to and from job search or training.
- Document training services needed, other resources explored, results expected, and how WIOA resources are expected to contribute to the success of the participant's plan. For training services, case notes must document attendance, progress, and credentials or certificates earned, including the date the credential was awarded.
- Document job search activities, such as job referrals, and other employability skills training provided, including job search workshops and assistance writing a resume.
- Document follow-up services provided to the participant, describing what was done and the planned next steps. Case notes should document post-exit credentials and employment information.
- Document the reasons for any change to the participant's employment plan. For example, case notes should document if a participant has moved, lost their job, or

their work schedule has changed. The case notes should document decisions made for a new employment plan.

- When a participant's file is transferred to a new staff person, including a file transfer for the specific purpose of performing follow up, the case notes should reflect when the file was transferred. The notes should indicate that the new staff person has thoroughly reviewed the file and identified case notes or documentation that is missing from the file. If case notes or necessary documentation is missing, case notes should show the efforts the new staff will take to collect the missing documentation (if possible).