

Cumberlands Workforce Development Board

Case Note Policy

PURPOSE: This policy provides guidance on the use of case notes to document services and assist with establishing statewide continuity and conformity with regard to case management.

POLICY: Case notes shall be entered for each customer in the case management system of record documenting relevant information beginning with intake and continuing through case management, training, and follow-up services. Case notes shall be written at the time of the event or contact and entered into the case management system of record as soon as possible, but no later than 3 business days following the event or contact. Extenuating circumstances such as system unavailability may be grounds for a brief extension to enter case cases, and such extensions will be considered on a case-by-case basis. The purpose of case notes is to provide a detailed description of an individual's participation in services. Case notes must be clear, relevant and useful. Effective case management practices include comprehensive case notes to detail intake, evaluations, participation, outcomes, service decisions, one-on-one meetings, achievements and follow-up services. Policy 22-002 Eff 2/15/2022 Page 1 of 2 Detailed case notes should individualize the customer and, at minimum, include the following information:

- the needs of the customer;
- history and details of the customer's situation, including both strengths and barriers;
- activities provided or planned (if applicable);
- brief description of how the customer will benefit from designated services;
- details of significant events;
- any need for modifications in the customer's training or services;
- information provided verbally or electronically by service providers;
- customer's progress toward goals;
- any need for additional services;
- any new information pertaining to customer's employability; and
- verification of post-exit outcomes.

Attachment A contains some examples of how case notes should be written to document the participant's initial visit as well as certification under WIOA.

Attachment A

Participant's Initial Core Service Case Note

Met with (participant's name) to discuss employment and training goals. He/she has come to the office seeking assistance to increase marketable skills. Participant is seeking assistance with their resume, cover letter and job seeking skills. Will work with (participant's name) on their job search skills and pre-training program. Should the participant not be able to obtain/retain employment through the efforts, participant will be referred to individualized career services.

Adult Initial Case Note

(Participant's name) is certified as an Adult in the WIOA program. He/she has not had income for the past six months. He/she has been receiving financial assistance from family members with a family size of (). (Documentation of family and income is in case file.) (Documentation of family and income is in case file.) (Participant's name) has been unable to obtain/retain employment with career services and is in need of individual career services. (Participant's name) will be enrolled into the following services(s).

NOTE: The case note will need to include all assessments, results of the assessments, as well as an analysis of the assessments.

Dislocated Worker Initial Case Note

(Participant's name) is certified as a dislocated worker in the WIOA program. (Participant's name) was laid off on (date) due to "lack of work" as a production worker at XYZ Company at the (company name) making \$20/hr. Documentation from the employer is on file. The UI determination letter confirms that (Participant's name) is eligible for UI benefits. Per documentation, participant is unlikely to return to his prior occupation because production occupations are listed as declining. A participant statement was signed and confirms that participant was a Production Worker at XYZ Company making \$20/hr. The participant has been unsuccessful in finding employment with career services; and is in need of training and/or individual career services due to their barriers and the types of services that they need.

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