

Region 4 Workforce Development Board
Case Note and Case File Organization Policy-Adult

PURPOSE: The Workforce Innovation and Opportunity Act (WIOA) adheres to a case management approach to service delivery. Integral to this approach is the maintenance of comprehensive services for each program participant. Case notes are one of the comprehensive tools that document the participant's journey throughout the duration of the program. Case notes are used as a tool to help service providers organize and analyze the information gathered on participants and to plan case management strategies. Recording case notes is critical because it weaves each service element into a comprehensive service plan.

REFERENCES: DWD Memorandum: Interim Guidance on Eligibility and Data Validation, TEGL 10-16; The Workforce Innovation and Opportunity Act (WIOA) Section 3(27), 3(46), 129(2) WIOA regulations sections 681.200 through 681.310

Background: The WIOA Act 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 clients, their progress, and the process and rationale for providing services to clients. Case notes provide information regarding the importance and value of services offered to clients and aid in evaluating and planning future services.

Case notes serve a variety of purposes, such as justification, documentation, and record-keeping. There are four standard categories of case notes related to WIOA case management practices. These are:

- Customer demographic information;
- Program eligibility and enrollment;
- Service planning, entry and tracking; and
- Performance and outcomes.

The information contained in a case note and the format followed depends on the purpose of the case note and the type. In general case notes for an individual client should provide the following information:

- History and details of the individual's situation
- Activities planned or provided
- Appropriate reference to other case documents, including the Individual Employment Plan or Individual Service Strategy.
- Outcome of services provided

Significant events in the individual's WIOA participation, such as:

- The individual's participation in WIOA activities and progress removing barriers or progress toward goals.
- The individual's participation in non-WIOA programs or activities like adult education or other referral services and progress removing barriers or progress toward goals.
- The need for changes in the individual's IEP/ISS.
- The first contact with a customer that results in their first service being received
- Contacts with a customer that involve the delivery of a specific service to that customer
- Contacts with a customer to assess their status or progress in an activity
- Contacts with a customer that produce new information affecting the delivery of services (examples would be changes in health status, court/legal problems, driver's license issues or changes in address).

Case Notes cannot be edited. Once the case note has been saved, a new case note with reference to the case note you want changed will need to be entered.

Information on contacts with the individual such as:

- Date of contact
- Purpose of the contact.
- Activities during the contact.
- Outcomes of the contact – actions taken, decisions made, and assignments of tasks for next steps.

Information on contacts with other WIOA on non-WIOA program staff such as:

- Name of the contact, position title, and agency represented.
- Date of contact.
- Purpose of the contact, information provided, and description of outcomes of the contact.

This policy sets expectations for the case file organization and the use of case notes to ensure sufficient details for an accurate and complete record of all customer interactions and activities. Case files and case notes are subject to monitoring and data validation reviews.

Regulations in the Health Insurance Portability and Accountability Act (HIPAA) (<http://www.cms.hhs.gov/hipaa/>) limit the way in which personal health information is disclosed. Health subjects include mental and behavioral health. Such information gathered should not be added into case notes, but stored in a separate file.

A case note should be entered for all services entered in the Case Management system. You may enter one case note to describe multiple services given on the same day. You may also enter a case note to provide additional or updated information on a service previously entered.

I. Case File Organization for Occupational Skills Training and/or Supportive Service

A clear and consistent approach should be used by all WorkOne staff in organizing the documentation of the case files to ensure eligibility and data validation requirements are met. Consistent organization of the case file will give each team member a clear picture of the activity and services provided and of the required documentation gathered.

All WorkOne West Central staff should use the case file format and the appropriate eligibility check list(s) as shown in attachment 'A' when individual receives training and/or supportive services. Supporting documents should be gathered as shown in the appropriate check list.

A. Case Files are needed when a Customer Participates in:

- Occupational Skills training including On-the-Job Training, Work Experience & Internships
- Supportive Services including transportation assistance, automotive care and maintenance, child care assistance, work-related clothing and equipment, and certification and licensing fees.

B. Case Note Forms and Organization

- WorkOne staff will use appropriate eligibility check list(s) in Attachment "A". Supporting documents should be gathered as shown in the appropriate check list.

Effective Date: July 2017

CASE FILE ORGANIZATION CHECK LIST

Paper files may be kept for any customer that funds are expended on. This includes: SUPPORTIVE SERVICES, OCCUPATIONAL TRAINING, INTERNSHIPS, WORK EXPERIENCES, & ON-THE-JOB TRAINING SERVICES

FILES SHOULD BE KEPT IN SECTION ORDER AND SHOULD HAVE A COVER SHEET TO MARK WHERE EACH SECTION BEGINS AND ENDS. A COPY OF A COMPLETED CHECK LIST SHOULD BE INCLUDED IN EACH FILE. MOST RECENT INFORMATION KEPT ON TOP. MEDICAL INFORMATION MUST BE KEPT IN A SEPARATE FILE AND NOT IN THE CUSTOMER'S CASE FILE.

SECTION 1 – APPLICATION/ ELIGIBILITY VERIFICATION

Visibly write Last Name, First Name and Social Security Number on File Folder Tab for easy reference	<input type="checkbox"/>
Signed application- Scanned into ICC (If under 18, requires parent signature)	<input type="checkbox"/>
Signed EOE/Grievance Procedure as part of the application – Scanned into ICC (If under 18, requires parent signature)	<input type="checkbox"/>
Citizenship/Eligible to Work/ I-9 documentation - Scanned into ICC	<input type="checkbox"/>
Proof of Birthdate – Scanned into ICC	<input type="checkbox"/>
Selective Service information – Verified in ICC <u>and</u> Scanned documentation	<input type="checkbox"/>
TANF/Public Assistance – Scan documentation	<input type="checkbox"/>
Low Income verification for priority of service to Adults – scan documentation	<input type="checkbox"/>
Copy of income information - Income Calculation Form or other (poverty area/ free reduced lunch, etc) – Scanned in ICC	<input type="checkbox"/>
Dislocated worker verification – (See DWD Eligibility & DEV guidance) – Scanned in ICC	<input type="checkbox"/>
Copy of applicant statement- when applicable if documentation is not available (See DWD Eligibility & DEV guidance) – Scanned in ICC	<input type="checkbox"/>
Copy of Disability Information – Individuals Income must be included	<input type="checkbox"/>

SECTION 2 – ASSESSMENT DOCUMENTS

Work History – verify completed in ICC	<input type="checkbox"/>
Education History – verify completed in ICC	<input type="checkbox"/>
TABE, WorkKeys, Interest Surveys, (Indiana Career Exploration system) results and/or reports – Copy in File/scanned or case note for WorkKeys scores.	<input type="checkbox"/>
Work Readiness Pre-Assessment/Post Assessment when applicable	<input type="checkbox"/>
Other Assessment information – copy or case note documentation	<input type="checkbox"/>

SECTION 3 – BUDGET INFORMATION

Budget Worksheet and supporting documents – Scan or copy in file	<input type="checkbox"/>
Pell Grant Statement – Scan or copy in file	<input type="checkbox"/>

SECTION 4 – Individual Employment Plan (IEP)/Individual Service Strategy (ISS)	
Verify Completed IEP/ISS in ICC	<input type="checkbox"/>
Statement about providing training for Occupations in Demand & Program number	<input type="checkbox"/>
Verify Case note documenting client agreement with IEP/ISS	<input type="checkbox"/>
Drug Screen – scanned in ICC (as required)	<input type="checkbox"/>
Verify Program is WIOA approved and on Eligible Training Provider List – provide program # in case note	<input type="checkbox"/>
SECTION 5 – FISCAL INFORMATION – Scan or copy in file	
Completed Financial Award Analysis must be scanned in ICC for those attending training	<input type="checkbox"/>
Work Experience/OJT/Internships Paperwork	<input type="checkbox"/>
Agreements, Time sheets	<input type="checkbox"/>
I-9	<input type="checkbox"/>
Tax Forms	<input type="checkbox"/>
Childcare agreement – if needed	<input type="checkbox"/>
Gas Card sign off sheets	<input type="checkbox"/>
Incentive Documentation (Youth only)	<input type="checkbox"/>
All other Supportive Services must have signed receipt and signed voucher	<input type="checkbox"/>
SECTION 6 – ATTENDANCE Scan or Copy in File	
Signed attendance reports for supportive services related to classroom training	<input type="checkbox"/>
Semester Grades and/or Transcripts	<input type="checkbox"/>
Licenses/certifications/degrees – scan in ICC	<input type="checkbox"/>
Measurable skills gain documentation- scan in ICC	<input type="checkbox"/>
SECTION 7 – FOLLOW UP - Scan or copy in file	
Printed email correspondence	<input type="checkbox"/>
Pay Stubs or other documents	<input type="checkbox"/>
SECTION 8 – MISC scan or copy in file	
Other correspondence	<input type="checkbox"/>
JAG/ Scholarship/ OSY etc.	<input type="checkbox"/>