Region 4 Workforce Board
Youth Case Note and Case File Organization Policy

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.
Purpose: 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. These are:

- Customer demographic information;
- **Data element validation;** (case note must include the customer's barrier status, date information obtained and the case manager who obtained the information- See DWD Elig. guidance attachment D – Data Validation)
- Program eligibility and enrollment;
- Service planning , entry and tracking; and
- Performance and outcomes.

REFERENCESREFERENCES: The Workforce Innovation and Opportunity Act (WIOA)Section 3(27), 3(46), 129(2) WIOA draft regulations sections 681.200 through 681.310, DWD Memorandum Interim Guidance on Youth Eligibility and Data Validation and DWD Youth Manual July 2015

CONTENT: This responsibility includes assuring:

a. Information on a participant is reported accurately and timely in the TrackOne case management system; and
b. Proper documentation of the information is obtained and recorded in TrackOne as part of the participant's records.

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

Case Note Guidelines:
Case note should be entered for all services entered in Track One. You may also enter a case note to provide additional or updated information on a service previously entered.

<u>Timeliness-</u>Case note must be written in real time and entered in TrackOne. The case note should be written every time something significant occurs with the participant (i.e. new test scores, job interview, a period of absence from the training program, supportive services, new program activities, etc.).

<u>Concise and Clear-</u> Case notes must be clear and easily understood. Someone with no contact with the participant should be able to read the case note and get an accurate picture of the participant. Good grammar and spelling should be used.

<u>Consistency-</u> There should not be gaps in either time or information. Case notes should reflect the participant's work and progress throughout their participation in the youth program. The case note and the rest of the file should match and reflect the same information as the test scores, start dates, revisions, supportive services, etc.

Legality- View case notes as a potential legal document. Case notes can and have been used as evidence in court. Ask yourself as you are writing, "would I want what I am writing to appear in court?"

Problems and Solutions- When documenting problems, also document solutions. For example, if you say "Participant not making progress", then also suggest what you are doing to remedy the situation. For example, part of the case note would include …"Participant is not making adequate progress in class. I spoke to him about the difficulties he is having and he will receive individual tutoring in math and language.

Things to Remember- Do not label your opinion and judgments as facts. Be specific. Avoid sweeping generalizations. Summarize confidential information rather than recording it in detail. Keep documentation focused on how events in participant's life will affect the plan.

I. TrackOne Case Notes

A TrackOne case note shall be clear, concise and used to document TrackOne services such as providing information of 14 youth program elements. Services can include comprehensive guidance and counseling, participation in group activities, phone contacts, or email exchanges. All case notes must be entered in TrackOne on a "real time basis" by the youth team member who provided the service.

Youth case notes would include all of the following:

- The first contact with a youth that results in their first service being received
- Contacts with a youth that involve the delivery of a specific service to that youth
- Contacts with a youth to assess their status or progress in an activity
- Contacts with a youth 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 in TrackOne, a new case note with reference to the case note you want changed will need to be entered.

II. TrackOne Case Note Requirements

To ensure consistency in Case Note format, the following guidelines and examples have been established to document the entry of Case Notes into TrackOne.

A. TrackOne Case Notes Documenting Services Provided to Youths

When a service is provided to a youth, the following information must be included in the case note:

- The "Regarding" box should reflect the "Service Type" selected for the youth.
  - For example, the service type selected may be: Objective Assessment, Individual Employment Plan, Youth Summer Employment Opportunities, Youth Educational Achievement, Youth Work Experience/Job Shadowing, etc.

- The specific activities in which the youth is participating must be described in the case notes.
  - Example: Provided TABE assessment (scores should be listed in test results), 1-1 interview to assess skill gaps and referred to Adult Basic Education provider for GED, ESL, etc., scheduled for WorkKeys assessment. Include brief details for reason service is being provided.

III. Case Note Examples – See Case note addendum

A. Registration or Enrollment TrackOne Case Note

This case note is critical as it documents enrollment/registration into youth activities and as such will be reviewed during monitoring and data validation activities. This initial case note must have the following:

- State whether youth is employed, not employed, justification for enrollment, assessment results if assessment provided.
- ISS case note if first service provided

TrackOne Case Note for Individual Employment Plan (IEP) Planning and Update Activities
This case note is required when the IEP is developed or when any modifications are made.

When significant activities occur or the IEP is modified,

- Describe the specific IEP activities in the plan and reason
- Describe the modified services that have been planned for the youth and how these services will help the youth achieve their employment goal
- Update the IEP and the newly revised copy of the IEP should be signed and provided to the participant

B. TrackOne Case Note for Work Experience and Internship Services

This case note is required to document when a youth is participating in a paid or unpaid work experience or internship. For definitional purposes, a work experience or internship is an activity where a youth will learn job-specific skills (as well as basic work skills if necessary) while performing actual work for an employer. Each time that a youth participates in these services, the following information must be documented in the case note:

- Describe the specific internship activity in which the youth is participating, including the name of the employer and a quick review of the work to be performed
- Describe the specific skills that the youth is to acquire as a result of participating in the internship; and
- Describe how this work internship will help the youth attain their employment goal

C. TrackOne Case Note for Classroom and Occupational Skills Training Activities

Training activities may include Occupational Skills Training at approved post-secondary training institutions. Each time that a youth receives these services, a case note is required and must document the following information:

- Summarize why the youth is enrolled in training (i.e., a review of the youth's skills gap or barriers to employment).
- Describe the specific training program the youth will be attending and the training institution that will deliver the training.
- Detail the status of any PELL grants and/or other sources of financial aid that is available to the youth (may be in case note or part of financial documentation). If the youth has selected training that is not PELL eligible, this fact should be documented.
- Describe the degree or certification that the youth is to acquire as a result of the training activity.

D. TrackOne Case Note for On-the-Job (OJT) Activities:

OJT activities occur when an employer hires a youth and WIOA funds are used to pay a percentage of the youth's wages during the learning or training period. Each time that OJT activities are provided to a youth, a case note is required and should document the following information:

- Summarize why the youth is enrolled in OJT training (i.e., a review of the youth's skills gap or barriers to employment).
- Document the OJT training program in which the youth is participating and the specific employer that will provide the OJT training; and
- Document the skills that the youth is to acquire as a result of the OJT activity and how these skills will assist the youth in attaining and retaining their employment goal.

E. TrackOne Case Notes for Supportive Service:

Support services are expenditure services that are designed to remove barriers that prevent youth from participating in youth service activities, and as such must be documented in a case note. Each time a youth is provided this service it must be documented in a case note that includes the following information:

- Document the youth's need for the support service, including the specific barrier that the support service will address
- Document the efforts made to secure the needed support service from other community organizations; and
- Document the specific support service that is to be provided
- Record the obligation amount in TrackOne attached to each support service (making sure an account is created in TrackOne)

F. Case Notes That Document or Update Youth Progress

Often there will be new or progress information that is obtained and this information must be documented in a case note and must include the following information:

- Briefly document any new information learned relative to the youth's progress in their learning, job search, work, or any other planned youth activity

G. TrackOne Case Note when a Youth has Exited Open Activity

When an enrolled youth completes the last day of service in an open activity, the youth must be exited from the activity and this exit must be documented in a case note that includes the following information:

- Document that the youth is no longer receiving this particular service and that the youth is being exited from this activity
- Document the youth outcomes from having been enrolled in this particular activity (e.g. credentials, improved basic skills, better job search skills)

IV. Case File Organization for Youth

Case files will be required for all eligible youth. A clear and consistent approach will be used by all youth 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 youth staff will use the case file format and the appropriate eligibility check list(s) as shown in attachment 'A'. All supporting documents must be attached to the appropriate check list.

Effective: July 16, 2015

Attachment A

YOUTH SERVICES CASE FILE ORGANIZATION CHECK LIST	
Paper files will be kept for all customers. This includes: SUPPORTIVE SERVICES, TRAINING, INTERNSHIPS, WORK EXPERIENCES, ON-THE-JOB TRAINING & ALL SERVICES	
FILES ARE TO BE KEPT IN SECTION ORDER. EACH SECTION MUST HAVE A COVER SHEET TO MARK WHERE EACH SECTION BEGINS AND ENDS. A COPY OF A COMPLETED CHECK LIST MUST BE INCLUDED IN EACH FILE. MOST RECENT INFORMATION KEPT ON TOP.	
SECTION 1 – APPLICATION/ ELIGIBILITY VERIFICATION	
Visibly write Last Name, First Name and Social Security Number on File Folder Tab for easy reference	☐
Signed application-parent sign if under 18 – Scanned into TrackOne	☐
Signed EOE/Grievance Procedure/Consent form as part of the application (pages 3-4)	☐
Birth Certificate/Citizenship/Eligible to Work - Scanned into TrackOne	☐
Driver's License and Social Security Card – Scanned into TrackOne	☐
Other acceptable identification document (specify) – Scanned into TrackOne	☐
Selective Service information – Verified in TrackOne **and** Scanned documentation	☐
Copy of income information - Income Calculation Form or other (poverty area/ free reduced lunch, etc)	☐
Copy of applicant statement when appropriate	☐
Copy of disability information- individuals income must be included	☐
SECTION 2 – ASSESSMENT DOCUMENTS	
Work History – verify completed in TrackOne	☐
Education History – verify completed in TrackOne	☐
TABE, WorkKeys, other approved assessment results and/or reports – Copy in File or case note for WorkKeys scores.	☐
Other Assessment information – copy or case note documentation	☐
SECTION 3 – INDIVIDUAL Employment Plan	
Verify Completed IEP in TrackOne	☐
Verify Case note documenting client agreement with IEP	☐
SECTION 4 – BUDGET/ FISCAL INFORMATION	
Excel Budget Worksheet and supporting documents when workshop not available – copy in file	☐
Copy of documentation of estimated training costs and financial assistance from training institutions	☐

Work Experience/OJT/Internships Paperwork:	◻
Agreements , Time sheets	◻
I-9	◻
Tax Forms	◻
Childcare agreement – if needed	◻
Gas Card sign off sheets/ or voucher	◻
Incentive documentation	◻
SECTION 5 – ATTENDANCE/SCHOOL RECORDS	
Signed attendance reports for supportive services	◻
Semester Grades and/or Transcripts	◻
Copy of licenses/certifications/degrees	◻
SECTION 6 – PROGRAM PARTICIPATION FORMS	
JAG/ Scholarship/ OSY etc.	◻
SECTION 7 – FOLLOW UP	
Printed email correspondence – copy in file	◻
Pay Stubs or other documents	◻
SECTION 8 – MISC	
Printed email correspondence – copy in file	◻
Other correspondence	◻

SECTION 9– Training Plan/IEP	
Verify Completed Training plan described in IEP	◻
Statement about providing training for Occupations in Demand & Program #	◻
Verify Case note documenting need for with Training Plan	◻
Verify Training is WIOA approved on IN Training Provider List and add Program # in case note	◻
Drug Screen Results	◻
	◻

Case Note policy addendum and additional guidance

What to Include in Case Notes

Case notes must provide a complete, accurate, and concise explanation of frequency and type of contact with customers, as well as type of services provided and the outcomes associated with those services. Although services provided to participants are documented by entering information into Track One, 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 client, as well as the purpose of meetings, and where, why, and how contact took place. In general, case notes resulting from interactions with the client should include the following elements:

- Date and manner of the contact – face to face, individual or small group, phone call, text or instant message (IM).
- Purpose of the contact (Eligibility, IEP, additional services, assessments, etc.)
- Activities during the contact (what agreed upon to occur to remove barriers or reach goals)
- Review previous contacts/ actions steps – what actions taken, decisions made,
- Plans for next steps or next meeting.

All conversations and events should be recorded in a case note as soon as possible after their occurrence. However, notes taken should not be recorded in the presence of the client.

What to Leave Out of Case Notes

In your case notes, you are not just representing yourself and your interactions with a youth participant. Case notes are legal documents that are also used to represent the local WIOA program and its compliance with federal, state, and local policies. Here are a few rules to follow to ensure that your case notes are objective rather than subjective observations:

- 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 youth's WIOA participation and progress, be sure to label your statement as an opinion.
- Use clear, simple, concise language, including professional terminology if 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 youth's participation in WIOA youth activities.

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

- History and details of the youth's situation/eligibility, including goals, strengths and barriers.

- WIOA youth activities planned or provided to youth.
- Appropriate reference to the service provided, including the youth's IEP
- A description of how the youth will benefit from WIOA youth activities to reach goal or address a barrier.
- Next Steps

Additionally, case notes should record details of the youth's participation in WIOA youth activities, including:

<u>Details of significant events in the youth's WIOA participation.</u>

- The youth's participation in WIOA youth ISS activities and progress removing barriers or progress toward goals.
- The youth's participation in non-WIOA youth programs or activities like adult education services or other referral services and progress removing barriers or progress toward goals.
- The need for changes in the youth's ISS.

<u>Information on contacts with other WIOA on non-WIOA program staff.</u>

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

Case Note Examples:

Poor example:

08/19/12 Steven is a youth not currently enrolled in school. He was kicked out of the alternative school. His mom thinks he could have dyslexia. Steven is very immature so I hope he lasts in the program. Keeping his attention for the intake process was challenging.

- *Opinion, "Steven is immature," as though it were fact.*
- *No specific plan created for dyslexia issue.*
- *No timeframes or statements of responsibility.*

Good example:

08/19/12 Steven is a youth not currently enrolled in school, and he says he was kicked out of the alternative school for poor attendance. His mother sat in on the initial appointment and commented that Steven was dyslexic and had a learning plan when he was in school. At times Steven appeared distracted and uninterested. Steven stared out the window and I had to repeat questions several times. Steven hesitated before answering simple questions and often deferred to his mother.

ACTION ITEMS:

1. Case Manager (CM) will contact school district to get information on possible learning disability by Thursday.
2. Steven will bring in remaining documentation for eligibility.
3. Steven and CM will meet Thursday at 1:00.
4. Above steps will be reviewed at next appointment

Poor example:

09/30/12 Called Steven today to ask why he did not attend the pre-employment skills workshop.

Steven is very immature and said he just forgot. He will not be able to start his work experience until he receives this service. I don't believe he is actually committed to the program.

- *Labeled opinion, "Steven is immature," as though it were fact.*
- *No specific plan created for providing the pre-employment service to Steven.*
- *No timeframes or statements of responsibility.*
- *Negative opinion of Steven is presented by Case Manager.*

Good example:

9/30/12 I called Steven today to ask why he did not attend the pre-employment skills workshop. He said he forgot that it was today. I informed him that he will not be able to start his work experience until he completes this service. We scheduled him to come into to the WorkOne Center after school for an hour every day next week to go over the materials covered in the workshop.

ACTION ITEMS:

1. Steven will begin tracking appointments with CM in planner.
2. Steven and CM will meet Monday through Friday next week from 4:00 to 5:00.

<u>Good example</u>

Eligibility Determination

Case Note

Client Name: Doe, Jane

July 3, 2015 I met with Jane today and enrolled her into the OSY WIOA program. Jane was referred to the Workone by the HUD office. Jane is 23 and not attending school. She has her high-school diploma but is low Income and Basic Skills Deficient (see scanned documentation). I reviewed the 14 Youth Elements with her and oriented her to the Workone services.

Action Item: We will complete the IEP, which will be in a separate case note

<u>Good Example</u>

Eligibility Determination

Case Note

Client Name: Sue Smith

<u>Good Example:</u>

Sue is 19 and not employed. She is a high school graduate, but taking class with Adult Ed to improve her reading skills. Sue came to the Workone to get another job. Her last employment had been at McDonalds from December 2014 to March 2105 when she was fired due to lack of transportation. Other previous jobs had been of short duration and are entered in TrackOne work history. Sue lives at home with her father for a family size of two. She says her family receives food stamps. Sue has no known disabilities.

Action items: Sue is schedule to return tomorrow with documentation of receiving food stamps to meet the low income eligibility for us to complete her enrollment. I will verify with Adult Ed provider that she is enrolled.

<u>Good example</u>
Eligibility Determination
WIOA Youth/JAG Case note
Client Name: John Doe

On August 12, 2015 I met with and enrolled John into the WIOA In-Youth program and JAG program at the ABC High School in Frankfort. John is 17 and is a junior and was referred by the school counselor, Ms. Smith who states he is at risk of graduating. He meets the definition of Basic Skills Deficient as his GPA is 2.3 (see documentation). John is not employed at this time. John lives with his mom and they receive Food Stamps (see documentation) John wants to graduate from High School and go directly to work.

Action items: John and I will develop his WIOA Youth/JAG IEP today. This will be a separate case note. John is scheduled next week on Wednesday, July 16th to take the TABE Survey on Total Math and Reading.

<u>Good example</u>
Educational Achievement Service Case note
Client Name: John Doe
August 16, 2015

John is a Junior in the JAG program at ABC High School in Frankfort who requires assistance in successfully graduating as he is struggling with Math. His TABE Math scores show 8.5 level.

Action Steps: A meeting is scheduled for next week on August 23rd at 3:30 with Math tutor, Mr. Jones. John is very relieved to have this assistance available. I will monitor John's progress with his Math teacher.

Youth Career Guidance/Counseling
Client Name: John Doe
September 16, 2015

Met with John to today to discuss his progress with the Math tutor. John said his Math is much improved and scored a B on his last test.

Next step: John and I will meet again next month on October 16th to ensure tutoring progress is still moving forward. We will also discuss budget preparation/financial literacy as identified on his IEP.

Youth Career Guidance/Counseling
Client Name: John Doe

October 16, 2015

Met with John today. All is still going well with tutoring. John missed the class when we developed 'mock' budgets for understanding how much it costs to live on your own. It's important for John to understand how important education and a good job will help him to live independently.

Next Step: John will review the class handouts and prepare his budget based on the given scenario and we will meet next month to review this and looking how to build a solid resume even though he has limited work experience as discussed on his IEP.

Youth Enrolled in Education sample case note:

Jason began his senior year at Kokomo High School today. He plans to complete his high school education on 5/25/16. Jason is behind on credits and as a result of his participation in the JAG program at KHS, Jason will receive Math tutoring assistance, study skills training, career counseling, and guidance to assist him in attaining his high school diploma and to improve his employability skills.

Next Step: I have set an appointment with the Math tutor to meet with Jason tomorrow at 3:30. I will follow-up with Jason and the Math Tutor in 2 weeks to check on his progress.