
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, DWD 2017-03 Youth Eligibility and DWD Youth Manual

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 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 Eligibility & DEV guidance)
- 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

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

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

- 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.

<u>Information on contacts with the individual.</u>

- Date and manner of the contact – face to face, individual or small group, phone call, text or instant message (IM).
- Purpose of the contact.
- Activities during the contact.
- Outcomes of the contact – actions taken, decisions made, and assignments of tasks for next steps.

<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.

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 <u>all</u> services entered in the Case Management system. You may enter one case note to describe multiple services given on the same day. Example: You may also enter a case note to provide additional or updated information on a service previously entered.

<u>Timeliness-</u>Case note should be written in real time and entered in the Case Management system. 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 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.

<u>Legality- View case notes as a potential legal document.</u> 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?"

<u>Problems and Solutions-</u> When documenting problems, also document solutions. For example, if you say "Participant not making progress", then also suggest what the next steps are to remedy the situation. For example, "Participant not making adequate progress. We discussed the need for additional assistance. He will receive individual tutoring in math and language and we will re-evaluate progress."

<u>Things to Remember-</u> Be specific in your notes, summarize confidential information and do not label your opinion and judgments as facts. Keep case notes focused on how activities impact the participant reaching goals established in their IEP/ISS.

<u>Document or Update Customer Progress</u> - As customers return, 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 customer's progress in their learning, job search, work, or any other planned WorkOne activity.

Case Management system Case Notes

A case note shall be clear, concise and used to document any "significant" service; such as 1-on-1 counseling, comprehensive guidance and counseling, participation in group activities, phone contacts, or email exchanges. All case notes must be entered on a "real time basis" by the team member who provided the service.

<u>Case managers must review prior case notes before providing services and adding new case notes.</u>

I. Case Note Examples (see case note addendum)

A. ICC Case Note

This case note is critical as it documents registration into WorkOne activities and as such will be reviewed during monitoring and data validation activities. <u>This initial case note should have the following</u>:

- State whether customer is employed, not employed, or employed but received noticed of termination or other pertinent information regarding employment status
- Notate if you refer customer for further services- beyond Basic Services AND why
- If customer enters system through REACH, REACH staff should provide case note for WorkKeys assessment provided and scores.

The specific activities in which the customer 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 HSE, ESL, etc., scheduled for WorkKeys assessment. Include brief details for reason service is being provided.

B. ICC Case Note for Employer Job Development Contacts

This case note is required whenever an employer contact is made on behalf of the customer. Such contacts should be for the purpose of assisting a customer in finding work, internships, OJT, job shadowing with a particular employer. Each time this service is provided, the following information must be in the case note:

- Identify the specific employer(s) that were contacted on behalf of the customer

C. Case Note for Workshops or Group Activities

Many WorkOne services are delivered in group or workshop settings. When a customer participates in a workshop or group activity, information regarding the activity must be included in the case note.

- Example: Enter ”Orientation of Service Overview”
- Briefly describe the purpose of the workshop or group activity

D. ICC Case Note for Individual Employment Plan (IEP)/Individual Service Strategy (ISS) Planning and Update Activities

This case note is required each time that a customer participates in an IEP/ISS. *Adult/DW Customers should have an IEP when funds are to be expended whether WIOA or co-enrolled into Special Grants. All Youth must have an ISS.* Initial IEP/ISS must be documented with a case note stating that the customer assisted in the creation of the plan. IEP/ISS updates should be case noted and state that customer participated in the update. Significant changes should be documented in the case note. Please refer to IEP/ISS policies for further details.

Each time a customer participates in IEP/ISS activities, the following information must be documented in the case note:

- Describe the specific IEP/ISS planning activities in which the customer participated
- Describe the services that have been planned for the customer and how these services will help the customer achieve their employment goal
- The following are required when a customer is entered into any training activity:
  - State the employment goal
  - Describe the specific training schedule, including a beginning and end date
  - Identify the planned provider for each training activity
  - Describe the rationale for referring the customer for training services
  - Describe any planned investments that are expected
  - Statement “This IEP/ISS has been jointly developed with the customer.”

E. ICC Case Note for Work Experience and Internship Services

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

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

F. ICC Case Note for Classroom and Occupational Skills Training Activities

Training activities covered include specific occupational training (must be on local occupations in demand list) programs at approved post-secondary training institutions, (must be on the Indiana Eligible Training Provider List without exception, which can be found at IN Training at https://solutions.dwd.in.gov/INTraining/index.htm .) When a customer receives the **initial OST** activity, a case note is required and must document the following information:

- Summarize why the customer is unable to obtain/retain employment with the services that have been provided (i.e., a review of the customer’s skills gap that is to be addressed through the training activity). Other barriers to employment should also be noted and should also include a sentence addressing the customer's financial need

- Describe the specific training program the customer will be attending and the training institution that will deliver the training. Document, in the case note, and that the occupation is on the Occupations in Demand list. List can be found at http://www.workonewestcentral.org/careers.cfm, highlighted in blue.
- Record the Indiana Eligible Training Provider number
- Detail the status of any PELL grants and/or other sources of financial aid that is available to the customer. If the customer has selected training that is not PELL eligible, this fact should be documented
- Describe the skills that the customer is to acquire as a result of the training activity and how these skills will assist the customer in attaining their employment goal
- If a voucher is issued that is attached to OST, case notes explaining expenditures and detailing the status of any PELL grants and/or other sources of financial aid that is available to the customer. ***Note: A training activity may have multiple vouchers attached. Each created voucher must have a case note as described above.**

ICC Case Notes regarding subsequent OST Progress:

- Monthly check-in detailing customer progress towards training goal.

G. ICC Case Note for On-the-Job (OJT) Activities:

OJT activities occur when an employer hires a customer and WorkOne funds are used to pay a percentage of the customer's wages during the learning or training period. The initial OJT activity provided to a customer must include a case note documenting the following information:

- Summarize why the customer is unable to obtain/retain employment with the services that have been provided (i.e., a review of the customer's skills gap that is to be addressed through the training activity). Other barriers to employment should also be documented and should include a statement addressing the customer's financial need.
- Document the OJT training program in which the customer is participating and the specific employer that will provide the OJT training; and
- Document the skills that the customer is to acquire as a result of the OJT activity and how these skills will assist the customer in attaining and retaining their employment goal.
- Document monthly check in progress.

H. ICC Case Notes for Supportive Service:

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

- Document the customer'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 and the amount.

I. ICC Case Notes for Partner Service:

Services that are provided to customers through a partner agency are required to be documented in a case note and must include the following information:

- Document the partner agency and the specific service that is being provided

- Document how these services will assist the customer in attaining their education or employment goal

J. ICC Case Note when a Customer has Exited Open Activity

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

- Document that the customer is no longer receiving this particular service and that the customer is being exited from this activity
- Document the customer outcomes from having been enrolled in this particular activity (e.g. employment, credentials)

K. ICC Case Note When Paper Files (for customers where funds have been expended) are Archived:

When an enrolled customer has received training or supportive services (when funds have been expended) and no service has been provided for 90 days, the file may be archived after follow-up when information from Management Information Team has been received.

The case note requires the Date of Archive in the case note.

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

A clear and consistent approach will 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 will 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 that incur the use of one or more of the following funding streams - Adult, Dislocated Worker, Youth, TAA. All supporting documents must be gathered as shown in the appropriate check list.

A. Case Files are Required 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. Additionally, incentives for youth participants require a case file.

B. Case Note Forms and Organization

- WorkOne staff will use appropriate eligibility check list(s) in Attachment "A" for the Adult, Dislocated Worker, Youth or TAA services provided that incur the use of one or more funding streams. All supporting documents must be gathered as shown in the appropriate check list.

Effective Date: July 2018

Attachment A

CASE FILE ORGANIZATION CHECK LIST	
Paper files will 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 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. 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	□
Signed application- Scanned into ICC (If under 18, requires parent signature)	□
Signed EOE/Grievance Procedure as part of the application – Scanned into ICC (If under 18, requires parent signature)	□
Citizenship/Eligible to Work/ I-9 documentation - Scanned into ICC	□
Proof of Birthdate – Scanned into ICC	□
Selective Service information – Verified in ICC and Scanned documentation	□
TANF/Public Assistance – Scan documentation	□
Low Income verification for priority of service to Adults – scan documentation	□
Copy of income information - Income Calculation Form or other (poverty area/ free reduced lunch, etc) – Scanned in ICC	□
Dislocated worker verification – (See DWD Eligibility & DEV guidance) – Scanned in ICC	□
Copy of applicant statement- when applicable if documentation is not available (See DWD Eligibility & DEV guidance) – Scanned in ICC	□
Copy of Disability Information – Individuals Income must be included	
SECTION 2 – ASSESSMENT DOCUMENTS	
Work History – verify completed in ICC	□
Education History – verify completed in ICC	□
TABE, WorkKeys, Interest Surveys, (Indiana Career Exploration system) results and/or reports – Copy in File/scanned or case note for WorkKeys scores.	□
Work Readiness Pre-Assessment/Post Assessment when applicable	□
Other Assessment information – copy or case note documentation	□
SECTION 3 – BUDGET INFORMATION	
Budget Worksheet and supporting documents – Scan or copy in file	□
Pell Grant Statement – Scan or copy in file	□

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

Addendum 1 Adult/DW:
What to Include in Case Notes

Case notes must be individualized and 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 ICC, 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 participant should include the following elements:

- Description of the context of the interaction (i.e. participant dropped by office after school, participant responded to case manager's request for meeting, etc.);
- Purpose of the interaction;
- Observations (appearance, seating, manner, etc);
- Content of the conversation;
- Outcome of the interaction (i.e.Was the purpose achieved? Were other objectives achieved?);
- Impression and assessment; and
- 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 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 individual'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 individual's participation in WIOA activities.

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.

Next Steps:

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.

Next Steps:

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.

Good Example:

I met with Sue today (August 18th) and she is interested in going back to school to earn her CNA license. She is no longer employed as a waitress. She has her HSE but feels she needs training to secure steady employment. She is interested in working in healthcare and wants to start as a CNA. I reviewed her income information (scanned in T-1) and she meets the low-income requirements. CNA positions are on the occupations in demand list, so we will move forward with our enrollment process.

<u>Next Step</u>: Sue is schedule for the TABE test on Friday (August 21st) to see if she meets the requirements to benefit from the training.

Addendum 2: Youth Case Note policy 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 ICC, 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, ISS, 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 ISS
- 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 ISS, 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 ICC 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.

Good example

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.

Good example

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 ISS.

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 ISS.

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.