

COMMONWEALTH OF KENTUCKY
DEPARTMENT OF WORKFORCE DEVELOPMENT

POLICY NAME: WIOA Case Notes

POLICY NUMBER: 22-002

DATE OF ISSUE: Reissued June 16, 2023

EFFECTIVE DATE: February 15, 2022

APPLIES/OF INTEREST TO: Local Workforce Development Board (LWDB) Members and Kentucky Career Center (KCC) staff

POINT OF CONTACT: Compliance.Unit@ky.gov

HISTORY: Initial date of issue 2/15/2022; revised 3/1/2023 to reflect agency name change; revised June 16, 2023 for technical amendment to change the timeframe to enter information into the case management system of record from 3 business days to 10 business days.

BACKGROUND: Case notes are intended to reflect interactions between the customer and career planner and to discuss progress and results. Effective case notes provide a running history of contact with the customer as well as necessary back-up documentation in the event of complaints. The content of case notes should include information that accurately describes the services provided and the individual's experiences. Case notes should document progress, identify barriers, describe the interaction between the participant and the career planner, provide a description of the assistance the career planner has provided, and show how the customer overcame any barriers. In essence, case notes should tell a story of the participant's journey through the offered programs into self-sufficiency.

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 10 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.

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. Participant 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. Participant has not had income for the past (X) months. The Participant has a family size of (X) and has been receiving financial assistance from family members with (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 individualized career services. Participant will be enrolled into the following service(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 (former job title) at (company name) making (Documentation form 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 the prior occupation because (former occupation) jobs are listed as declining. A participant statement was signed and confirms that participant's former occupation. The participant has been unsuccessful in finding employment with career services; and is in need of training and/or individualized career services due to their barriers and the types of services that they need.