

CASE NOTES

Case notes must:

- Capture services, present the current situation of an individual, identify current barrier
- Provide sequential tracking and reporting of customer contact and progress to build their story
- Link services to the individual's deficiencies and barriers that are presented
- Provide the story behind revised employment plans
- Increase accountability to allow for oversight and monitoring
- Fulfill an ethical requirement of helping professions
- Assist another employment specialist in helping the participant
- Be entered **within five calendar days** from the event, contact, attempt, correspondence, service, etc. If a case note is created after the allowed five days, it must include an explanation of why the five-day policy was not followed.

Case notes should be:

- Timely
- Clear and brief
- Concise and precise
- Accurate and complete
- Proofed and edited prior to submitting
- Contain facts (not opinions)

Enter a case note when:

- Contact with a participant is made or attempted
- Connections with a partner agency are made regarding a participant's situation
- Any service is entered

PARTS OF A CASE NOTE

Subject Line

The subject line of the case note should be:

- A. The name(s) of the service(s) provided

OR

- B. A summary of what happened if a service was not entered

Example of subject line and case note with no service:

Subject line: Appointment rescheduled

Body: Warren called today to state he needs to reschedule our meeting for 03/11/20 due to illness at home. We will be going over career exploration activities, I sent him the link to ONET's interest profiler and said he could take care of that at home and we can go over the results when he comes in on the 11th.

Body

The body of the case note must describe each service or the action that occurred. The service should be in all caps if multiple services are in one case note.

Example of subject lines and case notes for multiple services (enrollment of an RES referral):

Subject line: Intake/Orientation/Initial Assessment

Body: Enrollment Meeting virtually via TEAMS. 110-INTAKE/ORIENTATION: (PARTICIPANT NAME) completed the intake packet on DATE consisting of Form 1, Form 2, Form 3, and I9 documentation of a (I9 DOCUMENTS). Intake packet not uploaded until virtual enrollment completed. 111-INITIAL ASSESSMENT: All of (PARTICIPANT'S NAME) general, contact, and demographic information is up to date. Not a spouse or caregiver of a military member, not a transitioning service member, not a veteran. (PARTICIPANT'S NAME) is a UC Claimant and has been referred by RES. Not exempt from work search. Unemployed due to a layoff. (PARTICIPANT'S NAME) has attained a BA degree and is not currently attending school or receiving any services from any education partners. Not on any public assistance. No barriers to employment. Eligible for WP.

Not Eligible for MSFW or JVSG. **UPLOADED:** Intake Packet, US Passport, WP App. (PARTICIPANT'S NAME) signed the WP app via Adobe Sign.

Subject line: Eligibility Determination

Body: 112-ELIGIBILITY DETERMINATION: Has been enrolled in WP. Enrollment into WIOA. (PARTICIPANT'S NAME) is an RESEA referral. General, contact, and demographic information is up to date. Not a transitioning service member, spouse of a veteran or veteran. UI referred claimant to participate in RESEA. Not exempt from work search. (PARTICIPANT'S NAME) is a dislocated worker under category one. Not considered long term unemployed. Did not attend a rapid response event. Has a BA degree and HS Diploma. Not attending school. Not receiving services from education partners. No barriers or barriers to employment. Not receiving any public assistance. Family size of # with Annualized Family income of \$AMOUNT. Does not meet low income. Is eligible as a Statewide Adult and Dislocated Worker. Adult fundable due to (LOW INCOME, BSD, PA, HS DROPOUT, EX OFFENDER, DISABILITIES). NDWG GRANT FUNDING eligible as DW. Does not lack transportation or childcare. **UPLOADED:** WIOA APP. (PARTICIPANT'S NAME) signed the WIOA app.

Subject line: Objective Assessment, Employment Plan, RES Intake/RES Monthly

Body: 204-OBJECTIVE ASSESSMENT: No major barriers to employment. Selected for RESEA program. Seeking job search assistance in interview questions, job notifications, and going over how to use SDWORKS. Has a BA Degree and HS Diploma. Not interested in returning to school. Not considered low income. Estimated income of the last year is \$(INCOME). Is considered work ready. Has a DL and reliable vehicle, Cell phone and landline phone, has work attire or has the means to acquire. 205-EMPLOYMENT PLAN: Completed RESEA Employment Plan. Must complete 3 job contacts per week. Monthly activities included are LMI. R22-RES INTAKE/R36-RES MONTHLY-Completed enrollment and is compliant. Closed R22 and opened R36. (PARTICIPANT'S NAME) completed and signed Form 62. **UPLOADED:** Employment Plan, Form 62. (PARTICIPANT'S NAME) signed the Form 62 and Employment Plan via Adobe Sign.

WRITING A CASE NOTE

Case notes should include objective information, assessment results, service justifications, and future plans. Case notes should **NOT** include:

- × Opinions
- × Conclusions or judgements not based in facts
- × Phrases that contain “I think,” “it’s my opinion,” “it seems to me,” “I assume,” “probably”

Objective Information

Consider who, what, when, where, why, and how. Objective information can include:

- ✓ Behaviors reported by the participant or partner agency
- ✓ Statements made by customer
- ✓ Factual observations
- ✓ Assessment results

Assessment

- ✓ Substantiate conclusions and judgements based on objective information

Examples:

Participant spoke about computer programing frequently and in detail in our meeting. He has a strong knowledge about computer programming.

Participant reported starting new medications and not sleeping well at night. Participant was disengaged during Job Search Workshop and had a difficult time staying awake.

- ✓ Justify approval or denial of services

Example:

Participant started a new job on Thursday. Their windshield broke the following Monday on their way home from work. Participant received a ticket for a broken windshield on Wednesday. Participant asked if Title I could assist in paying for a new windshield. Case Manager first checked to see if any other resources were available to help pay for the windshield, ROCS Office was the only available resource, but they were unable to help pay for a new windshield due to funding. The

expected cost of this is \$195.00. For participant to maintain employment and considering he/she needs their upcoming paycheck for living expenses, I did approve this support service.

Outline Future Plans

- ✓ Specific next steps based on the information provided
- ✓ Details of any revisions to the Employment Plan

DISABILITY OR MEDICALLY SENSITIVE INFORMATION

Information that could lead to the disclosure of the specific medical condition or disability of a participant cannot be entered into SDWORKS case notes or comment sections. Case notes may state a medical condition or disability exists but cannot provide information describing the condition. Summarize information needed to help with barriers to employment instead of listing the specific sensitive information.

Examples for Medically Sensitive Information

- × *Not Allowed: Mary called and said she will need to reschedule our in-person meeting scheduled for 02/04/20 because she has a doctor's appointment to treat her severe inflammatory acne at the same time as our meeting.*
- ✓ *Correct Example:*
Mary called and said she would need to reschedule her in-person meeting with me on 02/04/20 because she has a doctor's appointment at the same time as our meeting.
- × *Not Allowed: John indicated he has a disability and told me that he is blind in his left eye, has ADHD, and chronic migraines. These conditions will need to be considered when finding a job. I have referred him to Voc Rehab.*
- ✓ *Correct Examples:*
John has medical and disability conditions that would impact his work environment and employment options. I helped him make an appointment with Voc Rehab. Appointment is scheduled for 05/15/21 at 9 am CT.
John prefers to work in an environment without bright lighting and strong smells. He will also need employment that does not require 20/20 vision. He may have a hard time staying focused on one task at a time. I took him over to help him make an appointment with the VR counselor who is co-located in our office.

Examples for Veterans

- × *Not Allowed: This Veteran has PTSD and a 40% service connection for a missing arm for a service connection disability. This veteran will be referred to a DVOP per the Veterans Request.*
- ✓ *Correct Example:*
This Veteran self-attested to having a service-connected disability rating and will be referred to a DVOP per the Veterans Request.
- × *Not Allowed: This Veteran self-attests to having a service-connected injury of the back. As a paratrooper also injured his knees as a service connected. This Veteran prefers nights because he has a phobia of being around other individuals.*
- ✓ *Correct Example:*
This Veterans self-attests to having a service-connected disability and can stand for five hours and lift up to 75 pounds. This Veterans prefers working nights and over-nights.