CASE NOTES

Case notes:
- Capture services, present the current situation of an individual, identify current barrier;
- Provide sequential tracking and reporting of customer contact and progress that builds 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; and
- Provide a picture so an individual can see anyone in the DLR local offices.

Aspects of good case notes include:
- Timely, DLR is requiring notes to be entered within two working days from the date of the contact;
- Clear and brief;
- Concise and precise;
- Accurate and complete; and
- Readable.

The subject of the case note should be the service name provided or case management if a service wasn’t provided. The body of the case note must describe the service. If more than one service is provided on the same day, the subject title must include each service name and the description must describe each service.

CASE NOTE INCLUSIONS: S.O.A.P.

Service name and description

Objective Information
- Behaviors reported by the participant or partner agency
- Record statements made by customer
- Record factual observations
- Record assessment results
- Consider who, what, when, where, why and how
- Should not include “I think”
- Must not include opinions

Assessment
  a. Substantiate conclusions and judgements based on objective information listed above.
  Ex. Participant spoke about computer programming frequently and in detail in our meeting. He has a strong knowledge about computer programming.
  Ex. Participant reported starting new medications and not sleeping well at night. Participant was disengaged during JSAP and had a difficult time staying awake.
  b. Justifies 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. The expected cost of this is $195.00. In order for participant to maintain employment and considering he/she needs their upcoming paycheck for living expenses, I did approve this support service.

Plan
  c. Based on the information provided what are you next steps? Be specific.
  d. Was the employment plan revised?
If your case note contains, “I think”, “it’s my opinion”, “it seems to me”, “I assume”, “probably”; then these are your opinions not facts.

Review case notes after drafting and ask fellow DLR staff to review and give feedback. Anything written in your case notes could end up in a courtroom.

OJT service note example: 2/1/16 OJT Service: Sam started his OJT today (Service)

Sam and I met with XYZ company with Minnie Mouse (HR) and Donald Duck (Trainer) to go over the OJT Training Plan, agreement, C&A, time sheet details and monitors/support from DLR. **Objective Information** The training plan for an IT developer was established today with assistance by the job description that HR provided and information on the job specifications from ONET. The ONET SVP code suggested 960 – 1040 hours. However, with Sam’s education and minimal work experience, Minnie, Donald and I determined that 480 hours, approximately 12 weeks at 40 hours/week, was a sufficient length of time to start the training. The training period will run from 2/1/16 – 4/22/2016. Sam will be making $18.00 an hour. XYZ will be reimbursed 50% of Sam’s wages at the end of the training period. Total reimbursement is $4,320. **Assessment/Justification** We all signed the training plan. Copies were provided to Minnie and Sam. Have a meeting for a monitor scheduled for next Thursday at 2p.m. **Plan**

OST justification note example: 8/19/2015 Case Management - Request for LPN training program at STI has been approved.

Alex would benefit from this training in order to secure suitable employment. Interest/Aptitude assessments concur training program is appropriate: Results of O’Net Interest Profiler Career List indicates Registered Nurses as his top choice. Basic skills are appropriate and he is qualified to undertake and complete the requested training, grade equivalent of 10.9 in Reading and 12.9+ in Mathematics on TABE. LMI supports there is training related employment opportunities available upon completion. SD has +12% change for LP and Licensed Vocational Nurses. Alex attended money management class and completed budget. He submitted acceptance letter from training provider for approved program. Financial aid award letter is on file. He signed Occupational Skills Training Conditions and Assurances form.

Adult OST justification note example: 8/7/14 Case Management - Administrative Office Professional Program

Connie has minimal experience and is lacking the skills needed to find employment as an administrative assistant. She is no longer able to work physically demanding jobs due to health problems. Her assessments compliment the administrative field, she scored the highest in conventional on the interest test, which highlights enjoying following procedures and routines, something that is necessary in an office setting. Connie received Silver on the NCRC, her math was a 5, and her TABE results were Reading 12.9+ grade equivalent, Math 10.6 grade equivalent. According to SDDLR, the LMI for executive secretaries and administrative assistance will grow 12% in the next six years in SD, the starting average wage ranges from $13.30-17.45. Connie completed a budget sheet, her finances will adequately cover her expenses while going to school. I received her acceptance letter from MTI. The AOS program is an approved WIA program. Completed all required paperwork for school funding. Per Local Office policy and current shortage of funds, we will be funding $600 for the first semester of school with the possibility of increased funding.

Support Service justification note examples: 12/1/15: Support Service - Transportation

Marcus starts an OJT tomorrow at Showplace wood products in Harrisburg and could use transportation assistance until he receives his first paycheck. Based on Map Quest, it is 16 miles round trip from his house to work. At .23 cents per mile for 5 days, it came out to be 18.40. In order to make an even number for the gas station to work with, I rounded to an even $20 per week for three weeks. Paperwork for Obligate only was completed and sent to fiscal. Marcus filled up his car today. The gas station will send the receipt this week to me to get paid out. I will completed an OJT monitor next Tuesday at 8:30a.m.

Cindy came in and brought the receipts for her background check $42.25 and Nclex(Nurse License Exam) application fee 100.00. The background check and application fee are required in order for her to take her LPN boards in June after her May graduation. The background check was dated on 4/29/15 and she took the NCLEX on 4/7/15. Cindy and I are scheduled to meet on 5/20/15 at 3p.m.
Eligibility for Adult funding justification note example:

08/01/2018: Eligibility Determination
Completed the WIOA Title I application, individual is seeking full-time employment as a welder. Is currently working at ABC company, but does not like the evening hours. At this time individual does not meet any of the Governor’s Barriers to Employment, thus is not eligible for Title I funding. Individual would still like assistance with mock interviews and developing a “plan of action”. Obtained the required verification documentation and have uploaded them to the document section of SDWORKS.

08/01/2018: Eligibility Determination
Completed WIOA application for Adult and Dislocated worker. Currently unemployed, last employed 10/13/17 with Diesel Machinery Inc. as Sales Manager earning $36.06/hr. Seeking Equipment Sales Manager in SF area, FT for $20+/hr. Eligible for Adult program financial assistance as over 55. Eligible for dislocated worker because has been laid off, receiving Reemployment Assistance (RA) benefits, and not likely to return to previous field as has been unemployed for over 4 weeks.