WORKFORCE DEVELOPMENT COUNCIL OF SEATTLE – KING COUNTY

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Technical Assistance Memo: Customer File Case Notes

TA MEMO NO: 13 VERSION NO.: V2

RELEASE DATE: July 26, 2019

1. PURPOSE

This technical assistance memorandum communicates guidance from the Workforce Development Council of Seattle-King County (WDC) to all WorkSource staff. The guidance regarding customer file case notes applies to all customers in Workforce Innovation and Opportunity Act (WIOA) funded Adult, Dislocated Worker, and Youth programs.

2. CUSTOMER FILES

Customer files are maintained to ensure quality customer service by recording services provided to customers and providing data for reporting purposes. The files are subject to monitoring review by various agencies, including the WDC, the United States Department of Labor, and the Washington State Employment Security Department. This guidance describes requirements for maintaining case notes in the customer file to comply with program monitoring activities at local and state levels.

3. CASE NOTES

Case notes are maintained in the Efforts to Outcomes (ETO) database and are a key part the customer file to describe the plans, activities, actions, and results of services provided. Accuracy and completeness in case notes is critical because case notes are used as planning tools and are referenced by case managers, supervisors, and monitors. Case notes must be consistent with the documentation in the customer file. The case notes provide a history of services for each participant and tell a complete story from start to finish while enrolled in WIOA. All WorkSource staff must follow these guidelines for creating and maintaining case notes in customer files:

A. General Notes Content

1. Include the date of service the case note references and identify the case manager or other staff person by initial.
2. Write case notes in a timely manner while the information is fresh in your mind. A monthly case note, at minimum, is required for all WIOA participants.
3. Provide a clear history of the customer's situation, barriers, self-sufficiency goals, occupational goals, and services needed and/or received, and describe how the customer will benefit from WIOA services.
4. Highlight major events, crises, barriers, or anything that is pertinent to the customer continuing in a program (e.g. job search or training) or continuing to receive services.

5. Identify who initiated the contact and where the contact took place. Show frequency of customer contact – at least once a month, if not more often – and if there has been a lack of regular customer contact, document why.
6. Maintain notes in date and services sequence. An issue mentioned in one case note should include a plan of action/resolution and be followed-up in subsequent case notes to be clear whether the issue was resolved. If a service is recorded in a note (or mentioned elsewhere) subsequent notes should include updates on progress, service completion, etc.
7. Identify any supporting documentation requested from the customer or from a third party, and record follow-up efforts to obtain the documentation.

B. Eligibility and Enrollment

1. Document how eligibility was determined after registering the customer and entering a WIOA Eligibility Application TouchPoint.
2. Include participant WIOA priority group. The eligibility note must include the barriers and eligibility requirement that the participant met in order to make them WIOA-eligible. See TA Memo 32 for new priority groups as of 2017.
3. If applicable, document co-enrollment date, eligibility, and explain why the co-enrollment occurred.
4. Identify assessment tools used and the results of those assessments.

C. Career Services

1. Document active Career Services by describing the services, the planned end date, and expected results.
2. For Supportive Services, document the customer's needs, resources explored, and actions taken in addition to recording Supportive Services as Individualized and Supportive Service Touchpoints.
3. Document Training Services start and end dates, attendance, progress and certification/credentials earned, and training completion date.
4. Document Job Search services activities, including job referrals and other activities.
5. Document the rationale for any change in the customer's service plan (e.g. customer has moved, customer lost job, customer's work schedule has changed), how the decision was made (e.g. met with customer and customer's TANF case manager to develop new job search plan), and describe the new service plan.

D. Training Services

1. For Training Services, document the resources explored, including what, if any, non-WIOA resources were applied for to assist in the cost of training, expected results, and the WIOA planned contributions. (*NOTE: results of applications must be placed in the participant file, as well.*)
2. Identify training paid with WIOA funds and comply with 20 CFR 680.230 for documentation.

3. Document participant likeliness to obtain or retain employment with Training Services that lead to economic self-sufficiency or wages comparable to or higher than wages from previous employment.
4. Record participant skills and qualifications to participate successfully in training services.

E. Program Exit and Follow-up Service

1. Record the customer's program exit date.
2. Document post-exit credentials and employment information.
3. Identify any planned Follow-up Services.
4. Record the date and type of Follow-up Services provided for system-exited program participants. See TA Memo 32 for allowable Follow-up Services.

F. Maintenance and Security

1. Case notes that refer to medical information and/or needed accommodations must be maintained in a separate file and stored in a locked file cabinet.
2. Case notes must be kept in the case file, whether the case file is physical (paper) or electronic. If the customer's file is electronic, then case notes in ETO do not need to be printed.
3. Physical customer files must be maintained in a locked file cabinet.

4. HISTORY

VER.	DATE	ACTION AND APPROVALS
V.1	5/10/2017	Initial guidance released to WorkSource staff
V.2	(draft)	Approved by WDC management and released to WorkSource staff