

# WIOA

Professional Development

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Program Monitor

Illinois Department of Commerce & Economic Opportunity

# The Art of a Case Note





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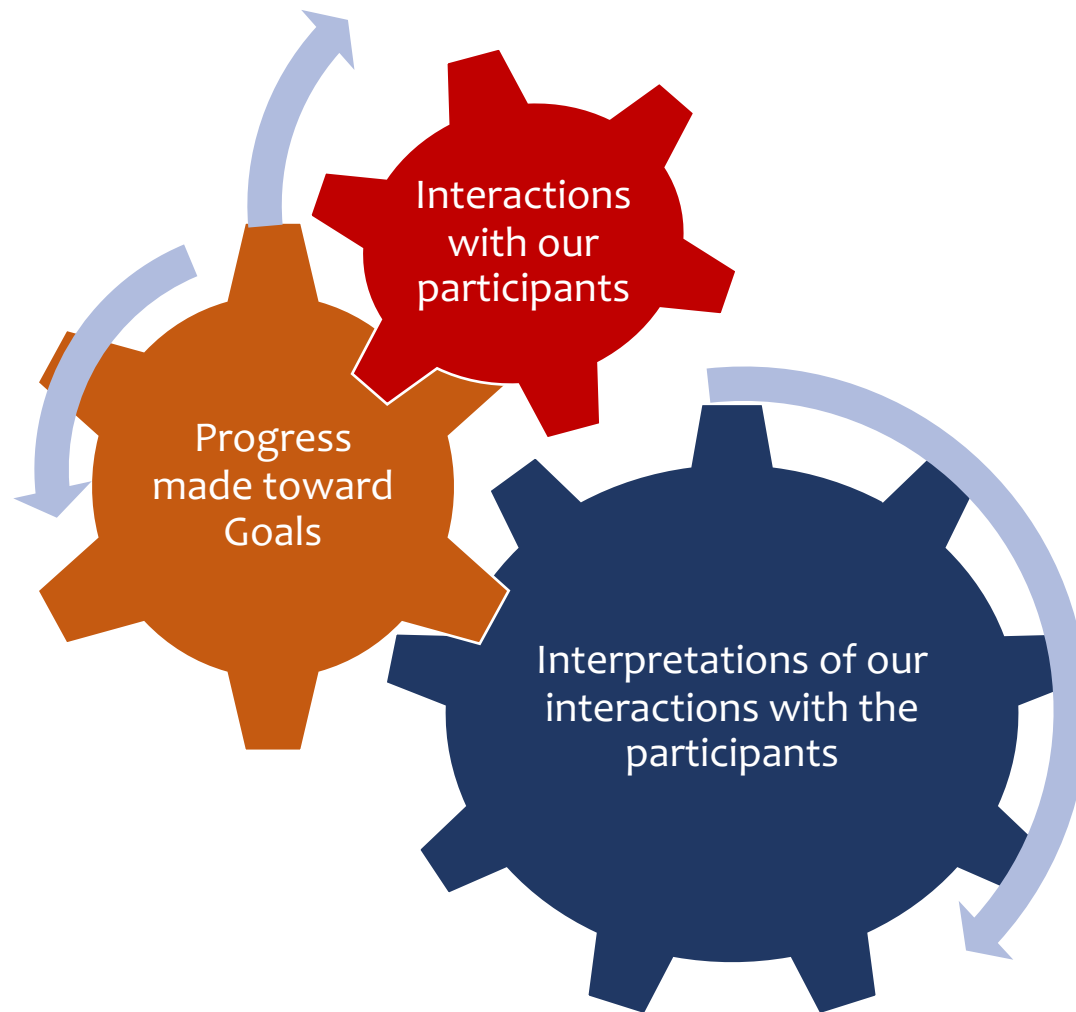
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# I. Purpose and Importance of Case Notes

# Purpose and Importance of Case Notes:



## Case Notes allow us to...

### Tell

**Tell the story. Identify the importance of who, what, when, where, why, and how**

### Build

**Build a better understanding of the participant. They are a tracking of reminders of interactions, referrals for additional services needed, a record of decisions made, as well as the rationale for those decisions**

### Help

**Help track progress and setbacks, identify potential challenges, and address how those challenges plan to be resolved**

### Link

**Link services to the participant's deficiencies and barriers that are presented**

### Increase

**Increase accountability to allow for oversight and monitoring**

### Fulfill

**Fulfill an ethical requirement of helping professions**

## II. Characteristics of a Well-Defined Case Note



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# Characteristics of a well-defined case note

- ***Clear***– Case notes must be clear and easily understood by the reader. Someone with no contact with the participant should be able to read case note entries and get an accurate picture of what services are being provided, the date the services are provided, and the justification for these services.
- ***Concise***– This might be considered subjective, but it is meant to ensure that all relevant information included is in as brief of a format as possible.
- ***Useful***– "Just the facts, ma'am". This expression from a vintage TV sitcom is the foundation for good case note writing. They are the facts as we know them or have been told. To keep them useful, remember to include the 5 W's (Who, What, Where, When, and Why) plus How and the next steps you and/or the participant will be taking.
- ***Relevant***– If something is mentioned in passing, it should not be recorded in a case note unless it relevant to the situation at hand.
- ***Timely***– Case notes should be written quickly or within a reasonable amount of time after the activity that took place with the participant.
- ***Identifiable***– The IWDS system automatically tracks who the writer is and when the case note was written (Date/Time stamp).





- **Description of the context of the interaction:** The participant dropped by the office to respond to the career planner's request for a meeting.
- **Purpose of the interaction:** The career planner wanted to discuss the participant's progress in the occupational skills training program due to several absences from school.
- **Content of the conversation:** The participant stated she was struggling to attend classes because of childcare barriers.
- **Outcome of the interaction supporting goals and objectives:** Participant's current babysitter has been unable to provide care due to personal issues. The participant stated she is working with a family member to provide childcare but will not know if this will be an option until sometime next week. Referral was provided to Child Care Resource and Referral.
- **Plans for next steps or when the next meeting is scheduled:** The career planner and participant agreed to meet within one week to determine if additional childcare assistance will be required.

***There is a saying in case note lore: "If it's not documented, it didn't happen."***

**At a *minimum*, case notes that document services should answer the following questions in order to meet data validation requirements:**

**What services were provided?**

**What date was the service provided?**

**Why were services provided?**

**When documenting problems or concerns, also include solutions.**

**Accurate, timely, and descriptive records of career planning efforts through appropriate case management is essential. Remember, when a service is provided, the case note must be entered as a “Same-Day Service” into IWDS within 10 days.**

## III. Important Rules for Writing Case Notes



# Important Rules for Writing Case Notes

**Record facts accurately and completely – behaviors you observed or statements you heard.**

**Do not make judgements based on what you observed or heard. Never include opinions, stereotypical comments, or any offensive statements.**

**If you must state an opinion that is relevant to WIOA Title I services, please be sure to label your statement as an opinion (e.g., It is the opinion of this career planner...)**

**Use clear, simple, concise language, including professional terminology. Proper English grammar and spelling must be used. Use free resources such as Grammarly as a writing assistant.**

**Do not use slang, clichés, or jargon.**

**Do not comment on details that are not relevant to the individual's participation in WIOA Title I services.**

**Keep documentation focused on how events in the participant's life will affect goals and objectives identified in their IEP/ISS.**

**Do not use discriminating statements, especially on the grounds of race, age, sex; with the exception of age as it relates to youth participants.**

**Avoid use of abbreviations or acronyms.**

# Sample Case Notes

## Excerpts from IWDS



*“Had a “come to Je—s” meeting with Stan today. He needs to better communicate. He needs to provide me with an update by the end of the week.” (observe the personal feelings/opinions/religious reference within the content)*



Alternate way to write same case note (Neutral/ “just the facts”):

Met with Stan today and discussed concerns regarding delay in completing his training program within the planned timeframe. We also discussed need for regular contact while he is participating in training. Stan reports he had some personal issues to deal with that prevented him from attending his required classes. We discussed some options of either continuing with training or closing his file until a future date when his issues have been resolved and he is better able to dedicate time to attend required classes. Stan agreed to call and update me on or before this Friday, October 2<sup>nd</sup> to let me know if he plans to return to training.



*“He was not following through, so I dropped him. I would not recommend providing funding for him in the future or proceed very cautiously.”*



Alternate way to write same case note (Neutral/ “just the facts”):

There has been no further contact from Stan. Due to multiple delays in training and no message received from Stan by the deadline of October 2<sup>nd</sup> of his plans to return to school, I will move forward with exiting the file. No further services are planned at this time. I sent Stan a letter today to let him know his file will be closed and to contact me should he desire services in the future.

## IV. Privacy and Confidentiality



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# Privacy and Confidentiality

Case notes are valuable records of past services provided. Disclosing highly sensitive information may cause harm if inappropriately disclosed to other third parties. The career planner is responsible for maintaining privacy and confidentiality. WIOA Policy Chapter 8.2.2 Privacy and Security (Personally Identifiable Information) provides guidelines for protecting participant privacy.

## Highly sensitive information may include:

- Living arrangements
- Relationship status
- Financial status
- Details of health condition(s)
- Psychiatric/medical history or conditions including treatments and prescriptions
- Evidence of addictions like drugs, alcohol, smoking, and gambling
- Experience with violence; domestic violence
- Cultural practices
- Criminal history or involvement
- Past or current charges or violations of the law
- Religious beliefs and practices
- Gender identity
- Political preferences





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



*Mary called and said she will need to reschedule our meeting on 1/21/22 because she has a doctor's appointment at the same time as our meeting to treat a severe rash on her body. We rescheduled for next week.*



*Mary called and said she would need to reschedule our meeting on 1/21/22 because she has a doctor's appointment at the same time. A new appointment was scheduled for 1/28/22 at 9:00 a.m.*



# IWDS-Confidential Case Notes

AutoSave Off Document1 - Word Search Kralman, Robin K. KR

File Home Insert Design Layout References Mailings Review View Developer Help Acrobat Table Design Layout Share Comments

1 2 3 4 5 6 7

Smith, John Application Summary  
**Staff Name:** Robin K. Kralman

**\*Contact Date:**

**Program:**

**\*Note Category:**

**\*Confidential:**

**\*Note Subject:**

**\*Case Note:**

Page 1 of 1 19 words

10:55 AM 1/19/2022

Within the case note screen in IWDS, there is an option for the case note to be recorded as “Confidential”.

Simply drop down the menu next to the “Confidential” line and change the answer to “Yes”.

## V. Top 3 Case Note Issues



## 1. Significant delays in case note entries and “batching” of case notes.

The definition of “batching” occurs when a career planner enters multiple case notes into the system all at the same time for past services performed over a period of months/years. The date/time stamp reflects multiple delinquencies for case notes not being entered in a timely manner. Batching of case notes is strongly discouraged as observations of this practice during monitoring may result in a programmatic finding.

### Per WIOA Policy Chapter: 4 Section: 2.7, 2(a):-Case Notes

1. *Case Notes* and file maintenance are vital to quality service and reporting. They reflect the results of continuous *Career Planning* in detail so that the *participant's* status is easily determined.
2. The case notes for an open active service must document ongoing two-way communication between the career planner and participant that describes how the service (career, training, supportive service) or activity moves the participant toward their goals.
  - a. Case notes must be entered into the appropriate case management system within ten (10) calendar days of the service delivery and the regular contact (typically thirty (30) days).

	<b>Contact Date</b>	<b>Note Category</b>	<b>Program</b>	<b>Note Subject</b>	<b>Updated By</b>	<b>Created</b>
<a href="#">View</a>	05/20/2021	Post-Exit Follow-Up	WIOA	Follow-Up Closed	Career Planner	2021-05-28 10:43:43.668
<a href="#">View</a>	09/17/2020	Exit	WIOA	Exit Case Note	Career Planner	2020-09-17 15:12:52.973
<a href="#">View</a>	05/20/2020	Case Note Supporting Same Day Service	WIOA	Case Management/Still Employed	Career Planner	2020-09-17 15:05:08.327
<a href="#">View</a>	04/15/2020	General	WIOA	Update Needed	Career Planner	2020-09-17 15:06:10.5
<a href="#">View</a>	03/30/2020	General	WIOA	Left Message/Employment or Training	Career Planner	2020-09-17 15:01:24.978
<a href="#">View</a>	02/20/2020	Case Note Supporting Same Day Service	WIOA	Case Management	Career Planner	2020-09-17 15:00:17.621
<a href="#">View</a>	12/12/2019	General	WIOA	Workshop	Career Planner	2020-02-26 12:22:31.325
<a href="#">View</a>	12/12/2019	Case Note Supporting Same Day Service	WIOA	Case Management/Employment & Training	Career Planner	2020-09-17 14:50:12.543
<a href="#">View</a>	11/18/2019	Training	TAA/NAFTA	Appointment	Career Planner	2019-11-18 11:31:28.741
<a href="#">View</a>	11/13/2019	General	WIOA	TABE Testing	Career Planner	2019-11-13 09:36:15.737
<a href="#">View</a>	11/11/2019	General	WIOA	message	Career Planner	2019-11-11 09:22:44.606
<a href="#">View</a>	11/08/2019	Individual Employment Plan	TAA/NAFTA	Training Packet	Career Planner	2019-11-18 11:25:42.263

## Barriers and Solutions for 1: “Significant delays in case note entries and “batching.”

### Barriers

- Finding the time to complete case notes/Work Balance/Time Management
- Delaying case note entries too long after the event or service was provided, resulting in detail not being properly documented, compromising the quality of the case note.
- Lack of training as to the time-sensitive requirements of entering case notes.
- Career Planner attributes

### Solutions

- Set aside designated times each week to enter all case notes for that week’s interactions to prevent potential data lags in your entries.
- Request technical assistance for additional training in the requirements of case note documentation.
- Utilize samples provided by the State as a template to writing a good case note.
- Run the following IPATS reports weekly to ensure compliance with case notes:
  - ✓ No Case Note in 30 Days
  - ✓ 3 Reports Available: Last Active Service Greater than 60 Days, 90 Days, 110 Days
  - ✓ Participants with Open Services over 18 months
  - ✓ Measurable Skills Gains and Credential Attainment Reports
  - ✓ Exit Reports

**Note: IPATS (Illinois Performance Accountability and Transparency System) can be accessed by using your Illinois workNet user name and password. This system provides the most accurate and up-to-date information for participants.**

\* Training Service open for more than 18 months ⓘ

128

**Customer Activity**

⚠ No Case Note in 30 Days ⓘ

2,554

\* Last Active Service Greater than 60 days ago ⓘ

1,415

⚠ Last Active Service Greater than 90 days ago ⓘ

552

⚠ Last Active Service Greater than 110 days ago ⓘ

357

\* Participants with Open Services for more than 6 Months ⓘ

3,389

⚠ Participants with Open Services for more than 18 Months ⓘ

932

Enrolled in Both LWIA & Statewide LWIA 90 ⓘ

336

Total ⓘ

9,630

**Exit Information**

Exiters ⓘ

39,774

✔ Employed at Exit ⓘ

25,097

✔ Employed 3rd Quarter after Exit ⓘ

16,000

## 2. Misuse or lack of use of “Same-Day Service” entries

There is confusion as to when to enter a “Same-Day Service” vs. a General case note. Some case note records have no “Same-Day Service” entries.

Each time a case note is added, the career planner must decide if the entry is to be documented as a “Same-Day Service” or a “General” case note. The following definitions reflect the differences between the two:

**Same-Day Service:** Same-day services are those staff-assisted activities that are completed in one day. The same activity could be delivered again on one or more additional days, but each occurrence is considered another episode.

**General:** All other activities with the customer or on behalf of the customer that do not constitute a “service” as defined by the goals and objectives on the IEP/ISS.



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## Barriers and Solutions for 2: “Misuse or lack of use of “Same-Day Service” entries”

### Barriers

- Some case notes are documented as “Same-Day Service” but the case note does not reflect a specific connection to a service or activity.
- Other case notes are clearly “Same-Day Service” contacts, but the case note is entered as a General case note only. Entering it this way prevents IWDS from auto-updating the End Date on the service line, potentially causing the participant to appear as if he/she has not received any services.
- Difficulty in determining type of contact (i.e.; two-way communication vs. a general case note entry where case notes are unclear if communication with the participant occurred.
- Lack of knowledge on how to enter a Same-Day Service case note.
- Not entering “Same-Day Service” case notes at all. Result appears as a data lag.

### Solutions

- When services are provided, always enter case notes as a “Same Day Service” through the Service screen. Use the “Add Additional Episode” button to enter. This process resets the End Date automatically and keeps the service date current.
- Use the Note Subject line to specify what occurred to help clarify whether it is a Same Day Service in which services/activities were provided, or a General entry that was not connected to a service or activity.
- Review current State training PowerPoints on IlworkNet which include step-by-step instructions on how to enter a “Same Day Service” case note.
- Ask for additional technical assistance.





# The following examples DO constitute a WIOA Title I service and should be entered as a “Same-Day Service” Case Note:

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- Completing intake, assessment/testing, development of IEP/ISS with the participant present
- Engaging in two-way communication which includes discussion of progress, changes, or concerns as related to goals and objectives listed on the IEP/ISS
- Reviewing class schedules and book list requirements with the participant, preparing tuition/book vouchers, verifying enrollment into Transportation/Child Care to assist with travel/childcare costs, obtaining signatures from participant for required documents
- Discussing supportive service requests with the participant, reviewing requirements and allowable costs, and preparing payment vouchers for required supplies, services, tools, etc.
- Receiving attendance records from the participant, reviewing attendance records for accuracy, then calculating and processing for mileage reimbursement
- Conferring with the participant to discuss barriers to achieving goals and objectives, providing linkage to other partners to support the needs of the participant
- Assisting participant with Job Search Assistance, Job Referral and Placement, Relocation
- Conducting on-site visits for Work Experience, On-the-Job-Training participants, etc. to assess progress as related to goals and objectives of the IEP/ISS
- Communicating with the participant when conducting 90-day IEP/ISS reviews together and documenting progress/changes as it relates to goals and objectives on the IEP/ISS

**Reminder! Per WIOA Policy Chapter 4, Section 2.6: Service Documentation-Case Management:**

**All WIOA Title IB services provided to a participant must be entered into the appropriate case management system within ten (10) calendar days of the service delivery.**

## Per WIOA Policy Chapter 4, Section 2.6: Service Documentation-Case Management (continued)

- The service screen must reflect ALL services that have been or are currently being provided to the participant.
- Service records must be closed/ended with an indication of *Completion* status (successful or unsuccessful) within ten (10) days of learning of the completion of the service.
- Outcomes of education and *Training Services* such as *Credentials* and/or *Measurable Skill Gains* attained must be entered within ten (10) days of learning of the attainment.
- For *Chicago Cook Workforce Partnership* providers that use Career Connect as a case management system, guidance on data entry specific to Career Connect can be found at the link in the Resources tab. All data entry time requirements addressed in this policy must also be followed by career planners using Career Connect.
- All documentation must be contained in the participant's physical case file and be available for review, as requested during compliance monitoring.
- Career planners are to upload all relevant documentation contained in the participant's physical case file into the appropriate case management system as directed by OET monitoring staff for remote monitoring and data validation purposes by the State and the U.S. *Department of Labor (USDOL)*.



The following examples **DO NOT** constitute a WIOA Title I service nor contact with a participant and should be entered as a **General Case Note**:

- Speaking with a participant's relatives
- Sending flyers, letters, or emails to the participant
- Speaking with a participant's probation/parole officer
- Having a casual (unrelated to the program) conversation with the participant in public (e.g., in a retail store)
- Having the participant simply bring in time and/or attendance records for payment when no "meaningful" service/discussion/guidance was provided
- Sending "contact me" or "contact our offices" messages via email, U.S. Postal Service, or telephone
- Regular contact with the participant or employer to **ONLY** obtain information regarding his or her employment status, educational progress/status, need for additional services, or income support payments; there must be "meaningful" service provided
- Commentary/opinions on participant's personal circumstances that are unrelated to employment and training activities and pursuits



## CASE NOTE SAMPLE: ATTEMPT TO CONTACT THE PARTICIPANT

### Incorrect Entry

**Note Category: WIOA Case Note Supporting Same-Day Service**

**Note Subject: Contact**

**Case Note: Called and left message.**

### Correct Entry

**Note Category: General**

**Note Subject: Attempt to contact for December 2021**

**Case Note: Called Morgan and left a message requesting she return my call to provide me with an update on progress in school.**

## **Incorrect Entry**

**Note Category: WIOA Case Note Supporting Same Day Service**

**Note Subject: Contact**

**Case Note: Client still in school.**

## **Correct Entry**

**Note Category: WIOA Case Note Supporting Same Day Service**

**Note Subject: School update-March 2021/Request for calculator**

**Case Note: Called and talked to Cindy today about her progress in Spring 2021 semester. Cindy reports she is current on her homework assignments and is maintaining A's and B's in her classes. She has no concerns at this time, but states she will be needing a scientific calculator. A supportive service voucher was prepared for the calculator and Cindy will come in tomorrow to sign the voucher and take it to the bookstore. She remains on track for completing training and continues making satisfactory progress in her classes.**

## CASE NOTE SAMPLE: ATTENDANCE RECORDS

### Incorrect Entry

**Note Category: WIOA Case Note Supporting Same Day Service**

**Note Subject: Update**

**Case Note: Received attendance.**

### Correct Entry

**Note Category: WIOA Case Note Supporting Same Day Service**

**Note Subject: October 2021 Attendance processed**

**Case Note: Jess stopped by the office and turned in her October attendance record. Attendance record reflects she attended all required classes. Completed mileage calculations and sent form to be processed for reimbursement. Jess continues to progress successfully in training and remains on track to complete her program within the projected End Date.**

### 3. Case Notes are missing required content/No chronological order

**Case notes lack *Reason* for contact, *Action* taken, and *Progress/Plan* for next steps.**

**There is a lack of order as to when services were provided with no connection back to goals and objectives.**

**Intake, Eligibility for Services, Assessment and Testing, Determination of Services, IEP/ISS Development case notes are frequently missing. There is no chronological order as to when the participant completed intake, how eligibility was determined, when results of assessment, testing was discussed, when the career planner worked with the participant to develop the IEP/ISS, and how and why the participant was determined eligible for services being provided.**

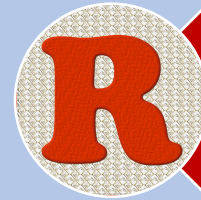
## Barriers and Solutions for 3: “Case Notes missing content /No chronological order”

### Barriers

- Lack of training on how to properly formulate a case note to include required components
- Lack of training on entering case notes in chronological order to validate the decision-making process of the participant’s enrollment into services
- Copying and pasting the same case notes each month

### Solutions

To develop a good quality case note, the easiest format to remember when documenting is the RAP Method:



**Reason for the contact**



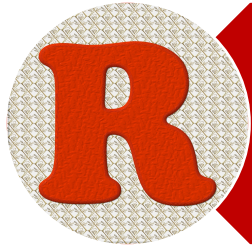
**Action needed and/or services planned or provided**



**Progress/Plan towards Goals and Objectives**



## CASE NOTE SAMPLE USING THE “RAP” METHOD



Reason for the contact



Action needed and/or services planned or provided



Progress/Plan towards Goals and Objectives

Note Category: WIOA Case Note Supporting Same Day Service

Note Subject: Fall 2021 grades received/ Spring 2022 Voucher issued

Case Note: **(R)** Met with Carl today to issue his Spring 2022 voucher and receive his Fall 2021 grades. Carl brought in his grades for Fall 2021 and received 3A's and 1B. He also brought in his Spring 2022 schedule. **(A)** A review of his curriculum verifies all registered classes for Spring 2022 are required for his HVAC program. A tuition voucher for Spring 2022 was issued for 13 credits. A Supportive Service voucher was provided for a multimeter. MSG was entered in IWDS for the successful completion of 12 credits for Fall 2021. **(P)** A review of Carl's progress in training is satisfactory as he currently has a 3.9 GPA. He continues to be on track to complete his training goal of obtaining an Associate's Degree in HVAC at Kaskaskia College by the projected End Date of May 15, 2023.

## TYPES OF CONTACT WITH THE PARTICIPANT

Be specific in your case note as to what type of contact it is when communicating with your participants. Acceptable types of contact include:



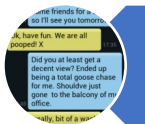
Phone call



Email



Social Media



Text message



In-person contact



Virtual Meetings/Contacts

*“Dance like no one is watching but text and email like it will be read in court one day.” - A Lawyer*

## Helpful Hint-Documenting Email Responses

### Directions:

1. Open email from participant
2. Click “Reply”
3. The email will now change to a condensed format that includes the Date/Time stamp. It is now ready to be copied and pasted into a case note in IWDS.

### Sample Email Entry:

Note Subject: Email contact for January 2022

From: Sharp, Simona

[Simona.Sharp@mchsi.com](mailto:Simona.Sharp@mchsi.com)

Sent: Monday, January 10, 2022, 9:31 AM

To: Kralman, Robin K.

<[Robin.Kralman@Illinois.gov](mailto:Robin.Kralman@Illinois.gov)>

Subject: Update on school

Hi Robin, so far, I am enjoying my classes. I have a huge test coming up next Friday, so I am studying hard for it. Still maintaining A's in all my classes.

Thanks. Simona

## VI. Sample Case Notes

# WIOA Policy 4.2.7- Case Notes

- 1. Case notes and file maintenance are vital to quality service and reporting. They reflect the results of continuous career planning in detail so that the participant's status is easily determined.**
- 2. The case notes for an open active service must document ongoing two-way communication between the career planner and participant that describes how the service (career, training, supportive services) or activity moves the participant toward their goals.**
  - a. Case notes must be entered into the appropriate case management system within ten (10) calendar days of the service delivery and the regular contact (typically thirty (30) days).**
- 3. Case notes should also indicate cross-program coordination of services and contacts with staff in other programs.**
  - a. Career Planners must identify the partner programs from which the participant receives services on the Concurrent Programs screen in the Illinois Workforce Development System (IWDS).**
- 4. Case notes and file maintenance are to reflect the results of continuous career planning in detail so that the participant's status is easily determined. The quality of the case notes is imperative to assist in monitoring efforts.**

# WIOA Policy 4.2.7- Case Notes

5. In addition to the case notes that are entered to describe the Workforce Innovation and Opportunity Act (WIOA) services and regular contact, the participant case note history must reflect the following information as appropriate:
  - a. **Introduction:** A complete description of the status of the individual at participation including an explanation of their overall need for services. This case note will elaborate on eligibility, intake, and assessment results to give a clear picture of the individual, their barriers, strengths and skills, training preferences, and possible support service needs.
  - b. **Determination of Training Need:** The career planner must document the suitability of the training/retraining program with participant's needs. In cases where training/retraining is required for a participant to enter or re-enter the workforce successfully, the training selected must be directly linked to employment opportunities in the local area or the planning region or in an area to which a participant is willing to commute or relocate.
  - c. **Training Begin Date (if applicable):** A case note must be entered when the participant enters training and is to include the date the training began, training program, training provider/school, approximate cost, and planned end date.
  - d. **Training End Date (if applicable):** A case note must be entered to reflect that the participant's training has ended and include the following – date training ended, the name of the program, whether the participant completed the training, and credential/license status.
  - e. **Service Closure/Exit:** A full description of the participant's status at exit must be case noted and include employment/non-employment, employer name, hire date, hours, and wage. Any exclusion must also be described; and
  - f. **Follow-up:** A full description of the follow-up services and information provided to WIOA Title IB participants.

## Sample Case Notes

### Three Samples for Review

- Intake/Eligibility Determination
- Assessment and Testing/Determination of Services
- Development of Individual Employment Plan (IEP)

### Suggestions for using samples:

1. Place samples in a folder on your desktop
2. Use the **highlighted** samples to create your narrative for each participant.
3. Fill in the highlights with participant's specific information.
4. Temporarily save your case note(s) until you are ready to add to IWDS.
5. Copy and paste case note(s) into IWDS.
6. Delete your temporary case note(s) after adding to IWDS or retain in a folder. This would be personal preference.

## **Case Management**

**Chapter: 4 Section: 2.2**

**<https://apps.illinoisworknet.com/WIOAPolicy/Policy/Index?id=196&Version=1>**

### **Initial Case Note for Intake/Eligibility**

**This case note is critical as it documents registration into IWDS and will be reviewed during monitoring and data validation activities. This initial case note must contain the following:**

- Why the participant is being enrolled in WIOA Title I services and what future services/activities will be provided.**
- For Adult/Dislocated Worker participants, the participating/enrolling service (e.g., Initial Assessment) and what other services were provided on the same day of the participation date (e.g., eligibility determination, overview of WIOA Title I program, IEP).**
- For Youth participants, the Objective Assessment, and Individual Service Strategy and the first youth element provided. The date of the first element provided will be the participation date in WIOA Title I Services.**





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## Adult (1A) Sample Case Note- “Intake/Eligibility Determination”

(Participant Name) <sup>jobcenter</sup> came into the office today to complete the intake process. (She/He) provided all required documentation needed to determine eligibility. (Participant Name) meets eligibility requirements for Adult services based on (include all ways eligibility was met for 1A here). Eligibility documentation was validated, and hard copies were added to the participant’s file.

(Participant Name) is currently (unemployed/employed/ employed part-time) at (Name of Employer), working (Hours worked per week) per week as a (Occupation) at (Hourly rate of pay) per hour. (If currently unemployed, document last employment). (She/He) is (marital status) and has (insert dependent information). (She/He) (is/is not) a Veteran.

(Participant Name) expressed an interest in training and is considering (Program Name). (Her/His) highest level of education is (insert education level). (Participant Name) completed the Basic Skills Screening Tool. Results reflect (she/he) (did/did not) identify areas that indicate basic skills deficiency. There (are /are no) referrals planned as a result of this screening. (List referrals if applicable).

Options for training were discussed and the ETPL State Provider list was reviewed with (her/him) to ensure (he/she) is well informed of eligible training providers and programs that are available. (Participant Name) was provided (a copy of the ETPL State Provider List/the Website address for the ETPL State Provider List) and encouraged to review all options for training.

The WIOA application was completed today, and signatures were obtained for all intake documents. Participant responsibilities regarding monthly contact and follow-up requirements were reviewed with (her/him). (Participant Name) is scheduled to come back on (next appointment date/time) to further discuss (reasons for next appt.( i.e. training, Work Experience, OJT, etc.).

(Participant Name) was enrolled in (list services) today. Additional services planned are (list additional services).



Professional Development



## Results using 1A “Intake/Eligibility Determination” Sample

Jess came into the office today to complete the intake process. She provided all required documentation needed to determine eligibility. Jess meets eligibility requirements for Adult services based on eligibility for SNAP benefits within the last 6 months. Eligibility documentation was validated, and hard copies were added to the participant’s file.

Jess is currently employed part-time at Franny’s Restaurant, working 25 hours per week as a cook at \$10.00 per hour. She is a single parent with 1 dependent. She is not a Veteran.

Jess expressed an interest in training and is considering LPN. Her highest level of education is High School Diploma with some college credits. Jess completed the Basic Skills Screening Tool. Results reflect she did not identify areas that indicate basic skills deficiency. There are no referrals planned as a result of this screening.

Options for training were discussed and the ETPL State Provider list was reviewed with her to ensure she is well informed of eligible training providers and programs that are available. Jess was provided a copy of the ETPL State Provider List and encouraged to review all options for training.

The WIOA application was completed today, and signatures were obtained for all intake documents. Participant responsibilities regarding monthly contact and follow-up requirements were reviewed with her. Jess is scheduled to come back on March 9th at 10:00 am to further discuss training.

Jess was enrolled in Career Planning/Case Management and Development of an IEP today. Additional services planned include Supportive Services, Transportation, and Occupational Skills Training.

## How to Create a “ Summary of Assessment and Testing/ Determination of Services” Case Note

*There is a definite art to case note writing. But...where do you start when trying to develop a “comprehensive assessment” case note that requires an abundance of information?*

- ✓ Review the participant’s assessment and test results. Develop a good understanding as to what the results/scores mean. If you don’t understand a result/score, look for the interpretation within the assessment or test narrative for clarification, or ask a supervisor for assistance. It is very important you interpret the data correctly so you can begin to develop an employment/training plan for the participant.
- ✓ Extract information from your assessment and testing results that you want to include in your comprehensive case note. This could include Aptitude scores, Interests, Abilities, etc. You will be utilizing this information to start “building” your comprehensive assessment case note.
- ✓ Review information you obtained from conducting an in-depth interview with your participant. This additional information will assist you in making determinations regarding your participant’s service needs.

- ✓ Analyze the results of the assessments, tests, and in-depth interview together to see the “complete picture”. There must be a clear conclusion once you have reviewed. This information will validate your decision-making process regarding services you plan to enroll your participant in.
- ✓ Create a “comprehensive assessment” case note based on all of the data you have reviewed. Consider using the State template for “Comprehensive Assessment” to ensure all relevant information is included to clearly validate your decisions for enrollment into services.

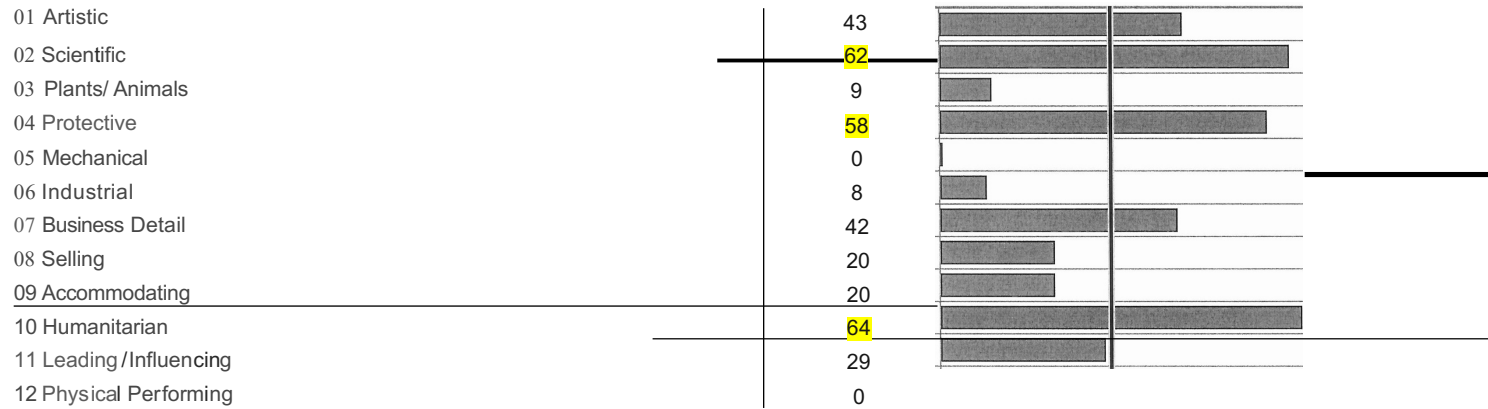
**As an example, let's view an assessment tool called  
"Career Scope" to take a closer look at this process...**

### INTEREST RESULTS

The table below reports and displays the percentage of "LIKE" responses that you recorded for each of the twelve Interest Areas. The dark vertical line in the chart is your Average percentage of "LIKE" responses (30%) across all twelve Interest Areas.

INTEREST AREA %

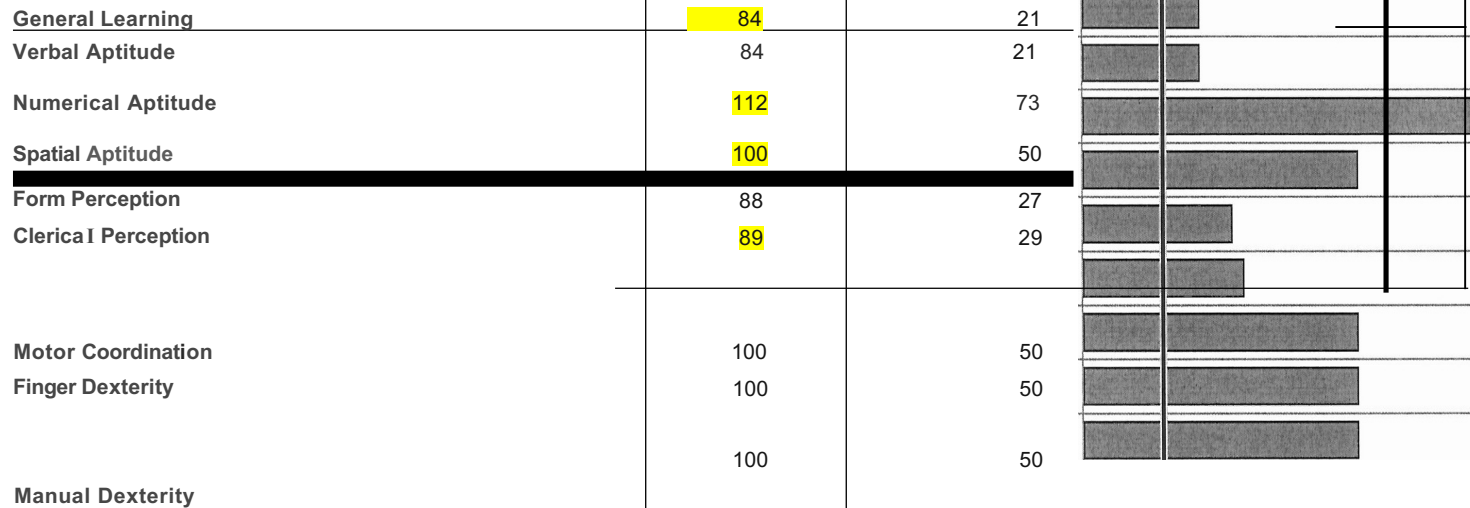
LIKE



An aptitude score of 100 is exactly average. Scores between 80 and 120 can be thought of as "in the average range." Percentile (%tile) scores report the percentage of people who score below you. The graph displays your relative strengths.

APTITUDE SCORE %TILE

AVERAGE SCORE RANGE



### INTEREST AREAS

Occupations have been divided into twelve broad interest areas. The Career Scope Interest Inventory contains items that describe work activities from these Interest Areas. The table below explains the Interest Areas and lists some of the fastest-growing occupations within each area.

INTEREST AREA	DEFINITION	OCCUPATIONAL EXAMPLES
01 <b>Artistic</b> <sup>oc</sup>	An interest in creative expression of feeling or ideas through literary arts, visual arts, performing arts, or crafts.	Writer, Painter, Actor, Editor, Dancer, Singer, Graphic Designer, Set Designer
02 <b>Scientific</b>	An interest in discovering, collecting, and analyzing information about the natural world and applying scientific research findings to problems in medicine, the life sciences, and the natural sciences.	Physician, Audiologist, Veterinarian, Biologist, Chemist, Speech Pathologist, Laboratory Technician
03 <b>Plants/ Animals</b>	An interest in activities involving plants and animals, usually in an outdoor setting.	Gardener, Animal Groomer, Landscaper, Forester, Animal Caretaker
04 <b>Protective</b>	An interest in using authority to protect people and property.	Police Officer, Private Investigator, Security Guard, Bodyguard, Park Ranger, Correctional Officer
05 <b>Mechanical</b>	An interest in applying mechanical principles to practical situations using machines, hand-tools, or techniques to produce, build, or repair things.	Electrical Engineer, Architect, Carpenter, Chef, Mechanic, Ambulance Driver, Project Engineer, Computer Equipment Repairer
06 <b>Industrial</b>	An interest in repetitive, concrete, organized activities in a factory setting.	Machinist, Dry Cleaner, Baker, Welder, Laborer, Lathe Operator, Hand Packager
07 <b>Business Detail</b>	An interest in organized, clearly defined activities requiring accuracy and attention to details, primarily in an office setting.	Bill Collector, Secretary, Receptionist, Participant Service Representative, Health Information Technician
08 <b>Selling</b>	An interest in bringing others to a point of view by personal persuasion, using sales and promotional techniques.	Sales Representative, Stadium Vendor, Clothing Salesperson, Telephone Solicitor, Financial Planner, Travel Agent
09 <b>Accommodating</b>	An interest in catering to the wishes and needs of others, usually on a one-to-one basis, through hospitality and service work.	Manicurist, Restaurant Host, Waiter, Waitress, Personal Shopper, Flight Attendant
10 <b>Humanitarian</b>	An interest in helping individuals with their mental, social, spiritual, physical and vocational concerns, through medical or social services, therapy, or nursing.	Home Care Aide, Physical Therapist, Nurse, Medical Assistant, Child Care Worker, Dental Hygienist, Counselor, Probation Officer
11 <b>Leading/ Influencing</b>	An interest in leading and influencing others by using high-level verbal or numerical abilities in business, education, research, or management positions.	Database Administrator, Paralegal, Teacher, Computer Engineer, Lawyer, Stock Broker, Computer Programmer
12 <b>Physical Performing</b>	An interest in physical activities performed before an audience, such as sports or daring physical feats.	Athlete, Coach, Movie Stunt Performer, Juggler, Sports Instructor

APTITUDE	DEFINITION	SPECIFIC JOB TASKS	CAREERSCOPE TASKS
<b>General Learning (G)</b>	The ability to "catch on" or understand instructions and underlying principles; ability to reason and make judgements. Closely related to doing well in school. <b>EXAMPLES:</b> Use logic or scientific facts to define problems and draw conclusions; make decisions and judgements; plan and supervise the work of others.	Diagnose and treat illnesses or injuries; use facts to solve a crime; plan the layout of a computer network; inspect and test engine parts.	Pattern Visualization, Numerical Reasoning, Word Meanings
<b>Verbal Aptitude (V)</b>	The ability to understand the meaning of words and to use them effectively; ability to comprehend language, to understand relationships between words, and to understand the meanings of whole sentences and paragraphs. <b>EXAMPLES:</b> Understand oral or written instructions or guidelines; understand and use training materials; use work-related reference materials.	Write a novel; interview guests on a radio talk show; edit newspaper articles for publication; write captions for magazine photos; take notes during class.	Word Meanings
<b>Numerical Aptitude (N)</b>	The ability to perform arithmetic operations quickly and accurately. <b>EXAMPLES:</b> Make accurate numeric measurements; make change from currency; lay out geometric patterns.	Analyze statistical data; develop budgets for an organization; measure wall openings to fit and install windows; add lists of numbers.	Computation, Numerical Reasoning
<b>Spatial Aptitude (S)</b>	The ability to think visually of geometric forms and to comprehend the two-dimensional representation of three-dimensional objects; ability to recognize the relationships resulting from the movement of objects in space. <b>EXAMPLES:</b> Lay out or position objects; observe and comprehend the movements of objects; understand the effects of physical stresses on objects.	Design layouts for new highway systems; create diagrams of wiring systems in buildings; use patterns to make clothing; operate a forklift; use a floor plan to find an office.	Pattern Visualization
<b>Form Perception (P)</b>	The ability to perceive detail in objects or in pictorial or graphic material; ability to make visual comparisons and discriminations and see slight differences in shapes and shadings of figures and widths and lengths of lines. <b>EXAMPLES:</b> Inspect objects for flaws or scratches; determine whether patterns are the same; observe color, texture, and size of objects.	Examine and compare cells under a microscope; check temperature gauges on machinery; inspect parts on an assembly line; sort merchandise by size.	Object Identification, Abstract Shape Matching
<b>Clerical Perception (Q)</b>	The ability to perceive pertinent detail in verbal or tabular material; ability to observe differences in copy, to proofread words and numbers, and to avoid perceptual errors in arithmetic computation. <b>EXAMPLES:</b> Check work orders and specifications for errors.	Proofread manuscripts for typographical errors; keep inventory records; sort mail according to zip code; operate a cash register.	Clerical Matching
<b>Motor Coordination (K)</b>	The ability to coordinate eyes and hands or fingers rapidly and accurately in making precise movements with speed. <b>EXAMPLES:</b> Guide objects into position; make quick and accurate movements.	Add objects to a moving assembly belt; distribute handbills to passers-by.	CareerScope does not directly measure these aptitudes. However, based upon your use of the computer mouse, it is assumed that your scores are at least average. Your counselor may choose to directly assess these aptitudes and report your actual scores.
<b>Finger Dexterity (F)</b>	The ability to move the fingers and manipulate small objects with the fingers rapidly or accurately. <b>EXAMPLES:</b> Grasp and manipulate small objects; make fine adjustments to machinery; play a musical instrument.	Repair a watch; play the piano; replace eyeglass screws; put coins in a parking meter.	
<b>Manual Dexterity (M)</b>	The ability to move the hands easily and skillfully; ability to work with the hands in placing and turning motions. <b>EXAMPLES:</b> Move, stack, turn, or place objects; make coordinated movements of the arms and hands.	Stack bricks to construct a wall; pack oranges into crates; position dolls in a toy store window display.	

## RECOMMENDATIONS

The world of work has been divided into Interest Areas. These areas are further divided into Work Groups based upon aptitude requirements. 59 Work Groups are listed in the table below. When a number appears in the "I" column, it means the Work Group falls within one of your significant interest areas (1 = most preferred). When a symbol appears in the "A" column, it means that your aptitude scores qualify you for that Work Group. (You can be even more confident that you qualify for a Work Group when it is marked with a • symbol.)

	WORK GROUP	I	A
01.01	Literary Arts	4	
01.02	Visual Arts	4	
01.03	Performing Arts: Drama	4	
01.04	Performing Arts: Music	4	
01.05	Performing Arts: Dance	4	
01.06	Craft Arts	4	●
02.01	Physical Sciences	2	
02.02	Life Sciences	2	
02.03	Medical Sciences	2	
02.04	Laboratory Technology	2	
03.01	Mgr Work: Plants/Animals		
03.03	Animal Training & Service		
03.04	Elem Work : Plants/Animals		●
04.01	Safety & Law Enforcement	3	
04.02	Security Services	3	
05.01	Engineering		
05.02	Mgr Work: Mechanical		
05.03	Engineering Technology		
05.04	Air/Water Vehicle Operation		
05.05	Craft Technology		●

05.07	Quality Control		●
05.08	Land/Motor Vehicle Operation		●
05.09	Materials Control		
05.10	Crafts		●
05.11	Equipment Operation		●
05.12	Elemental Work: Mechanical		●
06.01	Production Technology		●
06.02	Production Work		●
06.03	Quality Control		●
06.04	Elemental Work : Industrial		●
07.01	Administrative Detail	5	
07.02	Mathematical Detail	5	
07.03	Financial Detail	5	
07.04	Oral Communications	5	
07.05	Records Processing	5	
07.06	Clerical Machine Operation	5	
07.07	Clerical Handling	5	0
08.01	Sales Technology		
08.02	General Sales		
08.03	Vending		●

09.01	Hospitality Services		
09.02	Barber & Beauty Services		●
09.03	Passenger Services		●
09.05	Attendant Services		●
10.01	Social Services	1	
10.02	Nursing, Therapy & Specialized	1	
10.03	Child & Adult Care	1	
11.01	Mathematics & Statistics		
11.02	Educational & Library Svcs		
11.03	Social Research		
11.04	Law		
11.05	Business Administration		
11.06	Finance		
11.07	Services Administration		
11.08	Communications		
11.09	Promotion		
11.10	Regulations Enforcement		
11.11	Business Management		
11.12	Contracts & Claims		



## Sample Case Note – Summary of Assessment and Testing/Determination of Services

(Customer Name) completed diagnostic assessment and testing. Basic Skills Screening Tool results reflect (there are no Basic Skills deficiencies/there are Basic Skills deficiencies). (She/He) completed (Name of assessments tests). (Name of Assessment) reflects (insert aptitude/interest assessment results here). Results reflect Math score is (insert score) and Reading score is (insert score).

An in-depth interview was conducted and reveals highest level of education is (insert education status). (She/He) has a work history which includes (list work history occupations here). Various transferable skills (she/he) identified from the Transferable Skills Checklist are: (List Transferable Checklist Skills customer identified here). (She/He) is (marital status) and has (insert dependent information). (Customer Name) (is/is not) a Veteran.

(Customer Name) is currently (unemployed/employed/ employed part-time/ employed, layoff pending/ terminated) at (Name of Employer), working (Hours worked per week) per week as a (Occupation) at (Hourly rate of pay) per hour. ONET reflects a (percentage) (deficit/growth) in the most recent occupation of (most recent occupation). (She/He) also completed a Budget Worksheet today which includes all available household income and expenses. The Budget Worksheet verifies (her/his) income status (is/is not) sufficient to meet monthly expenses. (Document participant plan if income is not sufficient to sustain participant during training.) (Customer Name) (is/is not) eligible for (SNAP, TANF, etc.) benefits.

After a review of the assessment and test results, plus a review of the information obtained from our in-depth interview, it has been determined no suitable employment is available, even with additional employment and case management services. Barriers to employment include (list barriers here and include reasons why barriers are preventing customer from meeting employment goals). (Customer Name) has been advised that additional training is recommended. A review of training options were discussed, and it has been determined the results from (her/his) comprehensive and specialized assessments support (her/his) selection of (type of training) in the area of (training occupation).

After reviewing (her/his) options on the State Approved List, (Customer Name) has decided to pursue a (type of credential) in (Program Name) at (Name of training institution). Labor Market Information from ONET was shared with (Customer Name) and validates there is a (percentage growth) growth within (her/his) commuting area for the occupational area of (training occupation).

Recommended services for (Customer Name) include enrollment into (list services to be enrolled in). (She/He) was assessed for Supportive Service needs and reports (verify customer responses to available supportive services and any other important information to address barriers). (Customer Name) was also provided information for the official FAFSA website and instructed to file for Financial Aid.

## Sample of Completed Case Note – Summary of Assessment and Testing/Determination of Services

Jess completed diagnostic assessment and testing. Basic Skills Screening Tool results reflect there are no Basic Skills deficiencies. She completed Career Scope and TABE test. Career Scope reflects General Learning Ability (GLA) score is 84, which is within the Average range. This score is most closely tied to a projection of success while in training. Top 3 Aptitude scores are Numerical Aptitude-112, Spatial Aptitude-100, and Clerical Aptitude-89. Top 3 interests are: 1. Humanitarian 2. Scientific 3. Protective. TABE results reflect Math score is 11 and Reading score is 10.

An in-depth interview was conducted and reveals highest level of education is High School Diploma with some college credits. She has a work history which includes house cleaner, cook, and waitress. Various transferable skills she identified from the Transferable Skills Checklist are: The ability to operate a computer, effective communicator, problem-solver, sensitive to others, patient, goal-setter, attention to detail, organized, ability to maintain a budget. She is a single parent and has one dependent. Jess is not a Veteran.

Jess is currently employed part-time at Franny's Restaurant, working 25 hours per week as a cook at \$10.00 per hour. She also completed a Budget Worksheet which includes all available household income and expenses. ONET reflects a 7% growth in the most recent occupation of cook. The Budget Worksheet verifies her income status is sufficient to meet monthly expenses. She also reports her parents are willing to assist her with bills while she attends training. Jess is eligible for SNAP benefits.

After a review of the assessment and test results, plus a review of the information obtained from our in-depth interview, it has been determined no suitable employment is available, even with additional employment and case management services. Barriers to employment include limited work history, lack of higher education, lack of transferable skills needed for occupational goal, single parent, and low income, which are preventing her from reaching self-sufficiency. Jess has been advised that additional training is recommended. A review of training options were discussed, and it has been determined the results from her comprehensive and specialized assessments support her selection of Occupational Skills Training in the area of nursing.

After reviewing her options on the State Approved List and has decided to pursue a certificate in Licensed Practical Nursing (LPN) at Kaskaskia College. Labor Market Information from ONET was shared with Jess and validates there is a 10% growth within her commuting area for the occupational area of LPN-Nursing.

Recommended services for Jess include enrollment into Career Services/Case Management, Development of an IEP, and Occupational Skills Training. She was assessed for Supportive Service needs and reports she has adequate transportation and a valid driver's license to drive back and forth to school. She will also need to purchase nursing supplies as required with Supportive Service assistance. She states she does not need childcare as her mother will provide care for her daughter. Jess does request assistance with travel costs and is eligible for Transportation assistance. Jess was also provided information for the official FAFSA website and instructed to file for Financial Aid.

## Sample Case Note - Development of Individual Employment Plan (IEP)

(Customer Name) was present today to begin the process of developing (her/his) Individual Employment Plan (IEP). After a review of the assessment and test results, plus a review of the information obtained from our in-depth interview, it has been determined (no suitable employment is available, even with additional employment and case management services/ suitable employment is available). Barriers to employment include (list barriers here). A review of training options were discussed, and the decision was made to enroll (Participant Name) in (type of training) to best meet her employment goal. Assessment and test results support (her/his) choice of training in the occupational area of (training name).

We developed an employment plan together which includes setting specific, measurable, attainable, relevant, and time-based goals. Short-term and Long-term Goals and Objectives were established and linked to (her/his) training goal of (insert training goal) and employment goal of (insert employment goal). A detailed description of the Goals and Objectives can be found on the IEP form in the customer file.

Based on (Customer Name) 's current situation, we discussed what (her/his) vision for success would look like after receiving (list potential future training outcomes). (Customer Name) states she (insert customer response).

(Customer name) is eligible for the following Services: (List services). These services/activities will assist (Customer Name) in achieving (her/his) goals and objectives by providing (explain how services/activities will assist the participant in meeting goals and objectives). Training will be provided through an Individual Training Account (ITA) with (name of training provider), a training provider that is on the Eligible Training Provider List (ETPL). The training service aligns with the (Participant Name)'s existing skills and career readiness using the results from (her/his) interest and skills inventory. Projected Training Start Date for (Name of training Program) at (Name of training provider) is (Enter Date) and Projected End Date is (Enter Date). Estimated total cost of training is (estimated cost here).

The Individual Employment Plan (IEP) will be reviewed with (Customer Name) every 90 days at a minimum. The IEP will be updated as often as necessary in the event there is a change or modification to the training and employment goals and objectives. Services will be reviewed to confirm (Customer Name) is receiving all services necessary to ensure a successful outcome in meeting (her/his) goals and objectives.

## Result using “Development of Individual Employment Plan” (IEP) sample

Jess was present today to begin the process of developing her Individual Employment Plan (IEP). After a review of the assessment and test results, plus a review of the information obtained from our in-depth interview, it has been determined no suitable employment is available, even with additional employment and case management services. Barriers to employment include limited work history, lack of higher education, lack of transferable skills needed for occupational goal, single parent, and low income. A review of training options were discussed, and the decision was made to enroll Jess in Occupational Skills Training to best meet her employment goal. Assessment and test results support her choice of training in the occupational area of LPN-Nursing.

We developed an employment plan together which includes setting specific, measurable, attainable, relevant, and time-based goals. Short-term and Long-term Goals and Objectives were established and linked to her training goal of successfully completing the LPN program at Kaskaskia College, and employment goal of obtaining full-time permanent employment at a self-sufficient wage as an LPN. A detailed description of the Goals and Objectives can be found on the IEP form in the customer file.

Based on Jess’s current situation, we discussed what her vision for success would look like after receiving training, education, and a nursing credential. Jess states she is excited to start working on her dream of becoming a nurse and is focused on getting good grades. She states she can envision working as a nurse as she knows her hard work will pay off and her new job will bring financial stability for her family. She also wants to set a good example for her daughter and knows she will be proud of her.

Jess is eligible for the following Services: Career Services, Case Management, Development of IEP, Occupational Skills Training, Supportive Services, and Transportation. These services will assist Jess in achieving her goals and objectives by providing ongoing support from the career planner while in training, payment of tuition and fees to financially assist her with training costs, supportive services to help with training supplies, books, uniforms, etc., and transportation assistance to help pay for gas while in school. Training will be provided through an Individual Training Account (ITA) by a training provider that is on the Eligible Training Provider List (ETPL). The training service aligns with the Jess’s existing skills and career readiness using the results from her interest and skills inventory. Projected Training Start Date for LPN program at Kaskaskia College is 1/13/2022. Projected End Date is 5/15/2023. Estimated total cost of training \$7100.00.

The Individual Employment Plan (IEP) will be reviewed with Jess every 90 days at a minimum. The IEP will be updated as often as necessary in the event there is a change or modification to the training and employment goals and objectives. Services will be reviewed to confirm Jess is receiving all services necessary to ensure a successful outcome in meeting her goals and objectives.



## **Exits: WIOA Section 677.150 (c) states:**

**As defined for the purpose of performance calculations, Exit is the point after which a participant who has received services through any program meets the following criteria: (1) For the adult, dislocated worker, and youth programs authorized under WIOA title I, the AEFLA program authorized under WIOA title II, and the Employment Service program authorized under the Wagner-Peyser Act, as amended by WIOA title III, exit date is the last date of service. (i) The last day of service cannot be determined until at least 90 days have elapsed since the participant last received services; services do not include self service, information-only services or activities, or follow-up services. This also requires that there are no plans to provide the participant with future services. Furthermore, Section 677.150 (c)(1)(i) indicates that follow-up services do not extend the date of exit, and Section 116 of WIOA requires states to ensure data submitted and reported to the Department is valid and reliable.**

# Case Note Requirements for Exit

## “90 Days Prior to Exit” Procedure:

It is critically important when planning participant Exits that career planners enter in the appropriate type of case note for the 90-day period prior to Exit. If a career planner has determined the participant needs no further Staff-assisted service, it is extremely important during this 90-day time period that case notes are NOT entered via the mechanism “Add Additional Episode” (within the participant’s SAME Day service record.) Same Day Service case notes are tied to an active service only and will extend participation, causing the career planner to start the 90-day countdown all over again. General Case notes ONLY should be recorded during the 90-day time period when no services are being provided since these general entries do not impact or reset the Last Date of Service. Follow-up services may begin immediately following the Last Date of Service if it is expected that the participant will not receive any future services other than follow-up services.

## Exit Exclusions:

- Institutionalized – The participant has become incarcerated in a correctional institution or has become a resident of an institution or facility that provides 24-hour support as a hospital or treatment center. The participant’s stay is expected to last longer than 90 days.
- Medical – The participant has medical treatment, and that treatment is expected to last longer than 90 days and precludes entry into unsubsidized employment or continued participation in the WIOA Title I program.
- Deceased – The participant is deceased.
- Reservist Recalled to Active Duty – The participant is a member of the National Guard or another reserve military unit of the armed forces and is called to active duty for at least 90 days.
- Foster Care (Youth Only) – The participant is in the foster care system and has moved from the Local Workforce Innovation Area.

The State can provide additional sample case notes upon request. LWIA's can also create their own sample case notes. When creating sample case notes, be sure to follow the guidelines as to what verbiage is required to be included.

## Sample Case Notes to consider:

- Job Search Assistance
- Work Experience
- Occupational Skills Training
- On-The-Job Training
- Workshops or Group activities
- Incentive Payments (Youth)
- Supportive Services
- Partner Services/Referrals



Professional Development

# Self-Review: Guidelines for Creating a Template

## Job Search Assistance

A case note entry is required whenever an employer contact is made on behalf of a participant. Such contacts should be for the purpose of assisting a participant in finding work with this particular employer. Each time this service is provided, identify the specific employer(s).

## Workshops or Group Activities

WIOA Title I services may be delivered in group or workshop settings. When a participant attends a workshop or group activity, information regarding the activity must be included in the case note.

- Include the title, date, and location of the workshop, for example: Participant attended the Resume workshop on July 1, 2021.
- Briefly describe the purpose of the workshop and what the next steps are in the WIOA Title I Program.

## Work Experience

A case note is required to document when a participant receives a paid or unpaid structured learning activity at a worksite along with the justification for this service. The following information must also be documented in case note entries:

- Describe the specific Work Experience activity the participant will receive (worksite, wage, maximum number of hours allowed, and a brief summary of the duties to be performed).
- Describe the specific skills the participant will acquire as a result of participating in the Work Experience activity.
- Describe how the Work Experience will help the participant achieve his or her employment goal.



# Self-Review: Guidelines for Creating a Template

## Occupational Skills Training

**A case note is required to document when a participant receives an assistance with an occupational skills training activity from the Eligible Training Provider List (ETPL) along with the justification for this service. The following information must also be documented in case note entries:**

- Summarize why this training will be beneficial to the participant.
- Describe the specific training program and training institution where the participant will receive training.
- Detail the status of any Pell grants and/or other sources of financial aid that is available to the participant. If the participant has selected training that is not Pell grant eligible, this should be case noted.
- Describe the skills the participant will acquire as a result of training and how these skills will assist the participant in attaining their employment goals
- The start date and the estimated completion date of the training.
- Once completed, the actual end date of the training, if the training completion was successful or unsuccessful. And if the training resulted in credential and measurable skill gains attainment.



# Self-Review: Guidelines for Creating a Template

## On-the-Job Training (OJT)

Each time an employer hires a participant and WIOA Title I funds are used to pay a percentage of the participant's wages during the training period, a case note is required and should document the following information:

- Describe the specific training the participant will receive (OJT employer, wage, job title, maximum number of hours allowed, and brief summary of the duties to be performed).
- Describe the specific skills the participant will acquire as a result of participating in the OJT.
- The start date and the estimated completion date of the OJT.
- Once completed, the actual end date of the training, if the training completion was successful or unsuccessful, and if the training resulted in measurable skill gains attainment.

## Supportive Services

Each time a participant is provided a service designed to reduce barriers to participating in training or work activities, it must be documented in a case note that includes the following information:

- Describe the participant's need for the supportive service, including the specific barrier that the supportive service will address.
- Describe the efforts made to leverage the needed supportive service from other community organizations.
- Describe the specific supportive service that is provided, the date the supportive service is provided, the obligated amount of the service, and the actual amount of the service.

**Supportive services for Adult/Dislocated Worker participants are not allowable during the follow-up period.**

## Self-Review: Guidelines for Creating a Template

### Incentive Payments – Youth Only

**All incentive payments including what particular goal or milestone was obtained, must be documented in case notes in IWDS, and must include the following:**

- The date the incentive was provided to participant.
- The specific incentive provided.
- The date the milestone was achieved.
- The type of incentive that was provided to the participant. (e.g., The participant was provided with a \$50 Amazon gift card for obtaining their high school diploma on March 31, 2021.)

### Partner Services/Referrals

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

- Describe the partner agency and the specific service that is being provided.
- Describe how these services will assist the participant in attaining his or her education or employment goal(s).

# QUESTIONS?





# Contact Information

**For additional information or clarification regarding the content of this presentation, please contact your Regional Manager for additional guidance:**

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