



TECHNICAL ASSISTANCE MEMO #21
REVISION 3

DATE: APRIL 15, 2016
EFFECTIVE DATE FOR REVISION: OCTOBER 2, 2023

TO: ALL WSW SERVICE PROVIDERS

FROM: TAMARA TOLES
WSW QUALITY AND COMPLIANCE MANAGER

RE: CASE NOTING

The following Technical Assistance memo will serve as guidance for all service providers to use when documenting program enrollment and services in case notes. At a minimum, case notes are required every **30 days**.

Case noting is required to explain the services provided. Those requirements are:

- Prior to enrollment, an eligibility case note must be entered describing the eligibility criteria and why the case manager is enrolling the participant into a program. If a self-attestation form is used to document eligibility, the case note must state for which eligibility element is being documented and why the form is being used.
- Referral case note must be entered that documents the date the referral is made, name of the provider making and receiving referral, the associated program(s), and reason for the referral.
- For youth providers, a case note must be entered detailing the objective assessment and individual service strategy (ISS). Additional case notes are required when updates or progress towards goals are made to either one.
- For adult providers, a case note must be entered detailing the individual employment plan (IEP). Additional notes are required if updates or progress are made to the IEP.
- Equal Opportunity Guidelines requires that no medical or disability information is entered into case notes, including confidential case notes per [WIN 0023, Change 2](#). Any applications including medical and disability questions are acceptable to have but should NOT be case noted. This is accomplished by copying the specific sheet of the case note file, assessment form or language in the MIS that contains medical or disability related information, placing it in a separate medical and disability file, then redacting the medical and disability-related information in the case notes, assessment form or language in the MIS and inserting 'See separate confidential file'.

Examples:

- "Participant notified staff of barrier to employment, see confidential medical file cabinet."
- Participant informs staff during intake they have a disability and are unable to work in their previous occupation.
 - Acceptable note: "Participant cannot work in previous occupation due to employment barrier."
 - Unacceptable note: "Participant's injury or medical condition prevents return to previous position."

- If participant is disabled and requires a referral, entering a referral to DVR into a case note is acceptable.
 - Acceptable note: "Participant referred to DVR for assistance with employment barrier."
 - Unacceptable note: "Participant sent to DVR for help with disability counseling."
- Case notes must be added when a training service starts, updates during the training, documenting end date, if co-enrolled which funding source is paying, and the outcome of that training.
- Case notes must be added every time a participant receives a supportive service. Answering the following questions:
 - Why are you providing the support?
 - Why is the participant requesting the support?
 - Were all other resources exhausted?
 - What were those other resources?
 - What is the cost?
 - Who provided the support (vendor)?
 - If co-enrolled, which program is paying for the support?
- A case note must be entered when a certificate, credential, degree, diploma, or GED is attained.
- A case note must be entered when a referral is given, listing the referral agency and why the referral was given.
- A case note must be entered documenting any type of contact made with the participant. Even if it is just an *attempt* to contact.
- A case note must be entered when measurable skills are earned. The case note should detail what skills were measured and how.
- A case note must be entered when a participant is co-enrolled into another program explaining the purpose of co-enrollment and what services will be provided or leveraged.
- An employment case note must be entered if a participant gets a job.
- An exit case note must be entered when the participant exits the program. Case note must include the reason for exit and plan for follow up, if applicable.

It is important the case notes tell the story of the participant throughout the entire enrollment. In addition, what are the program services you are providing and why. It is imperative each provider have consistency when writing case notes. All staff should be entering in the same way and at the same time.