

WorkSource Information Notice (WIN)

Employment System Administration and Policy

☐ Policy-related | ☐ Fiscal | ☐ Performance | ☐ Q&A | ☒ Other

Number: WIN - 0088

Date: Dec 27, 2017

Expiration Date: N/A

TO: Workforce Development System Partners

FROM: Gary Kamimura, Workforce Policy Director

SUBJECT: WIOA Title I Case Note Guidance

Purpose:

To communicate guidance for case note documentation when providing case management services to WIOA Title I participants.

Action Required:

Local Workforce Development Boards (LWDBs) and their contractors, as well as Employment Security Regional Directors, must distribute this guidance broadly throughout the system to ensure that WorkSource System staff are familiar with its content.

LWDBs are encouraged, although not required, to develop local policies and procedures for the documentation of case notes.

Content:

The Workforce Innovation and Opportunity Act (WIOA) provides an opportunity for a greater emphasis on customer-focused and effective case management. Integral to this approach is the utilization of multiple techniques to address and provide solutions for a variety of barriers and assessed needs of participants.

Recording case notes is critical because it weaves each service element into a comprehensive service plan. Individualized case notes provide a complete, accurate, and concise explanation of frequency and type of contact with participants, including the types of services provided and the outcomes associated with those services.

Case notes are a tool to help service providers organize and analyze the information gathered on participants and to plan case management strategies. It is imperative that Local Workforce Development Boards (LWDBs), their Title I sub-contractors, one-stop system partners, and federal

and state monitors/auditors, be able to recognize and discern each service and expenditure provided to, and made on behalf of, a one-stop system customer.

Additional Considerations

- Information contained in case notes belongs to participants.
- Case notes are legal documents that may be subpoenaed by the courts or disclosed through public records requests.
- Case notes are also used to represent the local WIOA Title I activities and their compliance with federal, state, and local policies.
- Case files and case notes are subject to monitoring and data validation reviews.

Any case notes containing confidential medical information must be kept separately in a secure location apart from participants' regular program files (see [WIN0023](#)).

Case notes should not be entered to represent service delivery without also entering a qualifying service from the WorkSource Services Catalog (see [WIN0082](#)).

References:

- WorkSource Information Notice ([WIN](#)) [0023-Mgmt of Medical Disability Related Info](#)
- WorkSource Information Notice ([WIN](#)) [0082-Real Time Data Entry in ETO](#)

Website:

<http://wpc.wa.gov/adm/policy>

Direct Inquiries To:

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Attachments:

None