Missouri Department of Higher Education and Workforce Development

FREQUENTLY ASKED QUESTIONS (FAQs) ABOUT…

OWD Issuance 02-2017: Statewide Case Note Policy

(Issued: August 14, 2017)

Last update: February 2020.

Q: Can staff case note that a participant has filed a complaint?

A: No. Any type of complaint under WIOA should be considered confidential. There should not be any case notes regarding a complaint, regardless of who the complaint is against. Per 29 CFR 38.45, "*Grant applicants, recipients and the Department must keep confidential to the extent possible the identity of any individual who furnishes information relating to, or assists in, an investigation or a compliance review, including the identity of any individual who files a complaint.*" This includes subrecipients and local service providers.

Q: Are staff required to enter Case Notes after proctoring the WorkKeys assessment?

A: No. Staff who simply proctor a test are not required to go further and record a case note on each individual's record. A case note will be required when staff go beyond proctoring and review the individual results with the participant.

Last update: October 2019.

Q: If the Case Note has an attachment tied to it, do staff still have to explain everything in the body of the Case Note?

A: No, if the required information is within the documentation attached to the specific Case Note then the compliance team will accept it.

Q: Why are Vet Staff (DVOP/LVER) being required to enter State IDs into Case Notes on Employer records?

A: Central Office Vet Staff have determined this is the most efficient way to verify the information entered into Employer Case Notes. Therefore, all Vet staff must enter the participant's State ID when inputting Case Notes on the Employer record when entering information about specific veterans.

Last update: September 2019.

Q: Is it acceptable for staff to write "customer has a medical condition that prevents them from…" in Case Notes?

A: Yes, it is acceptable. Staff are allowed to say medical condition, but they are not allowed to go into specific details (i.e. heart disease, cancer, broken leg, etc.).

Q: What is the purpose of the "Contact Date" on the case note entry, and how should staff use it?

A: The "Contact Date" is a field used to document the date the service or conversation occurred. Staff should change this date to reflect correct date the conversation or service occurred, ***even if the service note is being entered late***. By entering the correct "Contact Date", the service note will appear in chronological order, versus in the order that the Case Note was entered, making it easier to read, and in real-time order.

Q: Is it required for staff to write a Case Note after posting an Employer Service (E-codes) even if the title of the Activity Code describes the service that was provided?

A: Yes. Staff must enter Case Notes on the Employer Record after posting Employer Codes. This is required to validate the "Effectiveness in Serving Employers" performance measure.

Last update: August 2019.

Q: May staff include comments such as those stated below in Case Notes?

- **Referred customer to Missouri Vocational Rehabilitation for possible services;**
- **Referred customer to HUD for housing assistance;**
- **Referred customer to local food bank or FSD for food assistance;**
- **Referred customer to the Veterans Administration for services; or**
- **Referred customer to Pathways for services**

A: Yes, the examples referenced above are acceptable Case Note material for stating where a customer was referred. However, staff cannot go into detail about specific medical conditions, disabilities, etc.

Last update: June 2019.

Q: **Does third parties include training providers?**

A: No, we have an agreement with the training providers and therefore we are allowed to talk to authorized representatives about our participants enrolled into their programs.

Q: **Does each Activity Code/Service need a separate Case Note?**

A: There is no requirement on how Case Notes are entered into the system. Therefore, staff may enter in one summarizing Case Note after the appointment/visit or staff may enter a Case Note after each activity/service.

Q: **When should staff case note a Supportive Service request/payment?**

A: Case Notes should be written when the participant requests the Supportive Service, and the note should include all of the required components:

- The type of Supportive Service requested (e.g., transportation, childcare, etc.);
- The amount requested for the Supportive Service;
- The timeframe or duration for which the Supportive Service is being requested;
- The justification of need for the Supportive Service; *and*
- Documentation of the lack of availability of alternatives or other community resources.

Please note: an Activity Code/Service should not be posted until the Supportive Service is delivered/paid. (i.e. participant received work boots, work supplies, or when a check is cut to pay for transportation). At that time, staff will also enter a case note stating the supportive service was paid and for exactly how much.

Q: **What is acceptable information to enter for a RESEA reschedule Case Note?**

A: It is acceptable to say the participant needs to reschedule due to medical appointment or illness. However, staff *cannot discuss the nature of any illness or medical procedure/examination*.

Q: **Are staff allowed to use pronouns (he, she, her, or him) or first names in Case Notes?**

A: DWD does not have a policy prohibiting the use of pronouns in Case Notes. Please note that some sub-recipient providers may have their own policy regarding Case Notes and the use of pronouns.

When working with a member of the transgendered community, please review the presentation released by DWD's Equal Opportunity team. The video can be found by going to the DWD main page, and selecting "EO and Disability Services".

Q: When is a late Case Note considered "late"?

The policy states that Case Notes should be entered on the date of discussion with the participant or the date services are provided. This real-time data entry allows for continuous and seamless service delivery. If time of day or caseload does not allow for creating a Case Note immediately, it should be completed the next business day, or as soon as possible. In other words, staff should make every attempt to enter the Case Notes on the date services were provided, but notes entered the next business day (or as soon as possible) will not be considered 'late'.

Q: When should staff write a mandatory Initial Case Note?

A: Any customer moved to participant status must have an initial Case Note entered at the time of enrollment for the following programs:

- Wagner Peyser
- WIOA (Adult, Dislocated Worker, and Youth)
- TAA
- SkillUp (SNAP)
- RESEA
- RJS
- Any special projects (i.e. Summer Youth)