



DWD Issuance 11-2010

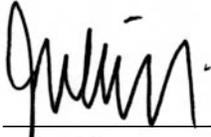
Issued: February 25, 2011
Effective: February 25, 2011

Subject: Statewide Service Note Policy

1. Purpose: The purpose of this Issuance is to provide a Statewide Service Note Policy to be utilized across all workforce programs.
2. Background: As a result of audit findings and issues cited in federal and state compliance reviews, it was necessary to establish a Statewide Service Note Policy. This Policy provides a consistent and clear standard for staff recording of Service Notes across all workforce regions and funding streams. It is imperative that all Career Center staff, local Workforce Investment Board personnel, and federal and state compliance auditors are able to recognize and distinguish each service and expenditure provided to and/or made on behalf of a workforce system customer. In addition, accurate, adequate, and timely recording of Service Notes assists in providing quality customer service.
3. Substance: A Statewide Service Note Policy which provides a comprehensive guide to staff on Service Notes importance and requirements.
4. Action: Effective February 25, 2011, all regions are required to distribute this Policy to appropriate staff and implement its contents in local Career Center operating procedures.
5. Contact: Direct any questions or comments regarding this Issuance to Steve Reznicek, Quality Assurance Manager, at 573.522.3015, or steve.reznicek@ded.mo.gov.
6. Reference: The Division of Workforce Development (DWD) establishes this Policy to meet the benchmarks outlined in Training and Employment Guidance Letter 17-05, Workforce Investment Act (WIA) Final Rule 663.220, 663.310, 663.805, 664.200, et.al, U. S. Department of Labor WIA Data Element Validation Source Document Requirements, and DWD Issuance 13-1999.

7. Rescissions: None

8. Attachments: Statewide Service Note Policy

A handwritten signature in black ink, appearing to read "Julie Gibson", written over a horizontal line.

Julie Gibson
Director



STATEWIDE TOOLBOX SERVICE NOTES POLICY

Description

Service Notes provide a fact-based description of a customer's interaction with the workforce system. Accurate, adequate, and timely recording of Service Notes is critical as these notes help provide quality customer service; track funding costs; and assist in compliance monitoring.

Service Notes must be entered on the date of discussion with the customer or the date services are provided. This real-time data entry allows for continuous and seamless service delivery that aligns with the Next Generation Career Center (NGCC) framework.

Many Toolbox services (i.e., four-week reporting, self-directed job search, updates to the Toolbox Assessment, etc.) are automatically recorded in the seeker history; therefore, it is not necessary to write a Service Note. However, if there is interaction with the customer and information obtained beyond this, then a Service Note that is in-line with this Policy must be recorded.

When writing service notes, keep in mind:

- Service Notes are part of the permanent record.
- Service Notes will be read by other staff providing services.
- The customer has the right to request copies of his/her Service Notes.

Purpose

Service Notes have a variety of purposes including:

- Sharing information with NGCC staff to facilitate seamless service delivery.
- Reminding NGCC staff of information and ideas that have been discussed with the customer.
- Providing documentation to meet regulatory requirements which will result in smoother local, state, and federal monitoring processes, and possibly fewer audit findings.

- Documenting information obtained from partners not using Toolbox.
- Documenting funding spent on a customer and the source of that funding (i.e., Workforce Investment Act (WIA), Trade, National Emergency Grant (NEG)) including training costs, supportive services, etc.
- Documenting progress toward the Goals and Objectives/Services listed on the Employment Plan.
- Adding, clarifying, or summarizing information in the Toolbox record.
- Helping locate customers for required follow-up contact.
- Assisting Division of Workforce Development (DWD) Central Office staff in:
 - Considering and processing change requests;
 - Investigating customer complaints; and
 - Reviewing records for compliance and quality of service.

Service Note Recording Requirements

Service Notes must be:

- Concise and Stated in Simple, Clear Language: The Service Note must be to the point as long narratives can contain unnecessary information. Service Notes should be detailed enough to communicate necessary information. Acronyms and abbreviations are not appropriate unless they are easily understood by **all staff** reading the Service Notes.
- Related to the Customer's Ability to Participate in Services: Information about spouses, children, other family members, friends, etc., should not be recorded unless it specifically relates to the customer's employment or training.
- Accurate: Service Notes should contain only relevant facts. Staff and third-party assumptions should not be included.

Service Notes must not include:

- Conversations with Other Individuals: In general, it is not appropriate to discuss the customer with anyone other than the customer. An exception to this is a youth who requires verbal and/or written approval of a parent or guardian.
- Confidential Information: Staff should avoid obtaining confidential (i.e., medical, legal, domestic violence) documentation unless it is necessary for determining employment or training opportunities. If it is necessary to obtain confidential information, the Service Note

should contain a generic explanation of the information; how it is related to employment and/or training; and direct the reader to the secure location of the information. (i.e., Customer wants to be a mechanic, but due to a medical condition needs to pursue other employment or training opportunities. See confidential file.)

Medical and Disability Related Information: Medical and disability related information must be kept “confidential and separate” from the Toolbox record and the customer’s main paper record; whether that information is maintained with paper or electronic copy. Electronic records must be password-protected and paper records must be kept in a secure, locked location. (See DWD Issuance 01-2008, Change 1.)

Toolbox Service Notes Categories Examples

In the Service Note category examples below, only a small portion of the customer’s involvement with the workforce system is stated. Due to real-time data entry requirements, information about a customer’s employment and/or training is recorded in several Service Notes.

Assessment

- Sharon completed WorkKeys and her scores are recorded. She worked as mail clerk which is a declining occupation based on local MERIC LMI data. Her job search over the last four months did not result in a salary equal to prior wages. She has few marketable skills in the current or future job markets. She does not know if she wants to change careers, but is looking at training programs based on local LMI data. Her follow-up appointment is 12/27 at 9:30 am with the Skills Team to discuss options.
- Bill wants to obtain a Class A CDL license. The O*Net Interest Profiler shows training is appropriate as he has an aptitude for the occupation and can work well independently. Local MERIC data lists commercial truck driving as an in-demand occupation. He will attend the training 3/28-5/3 with NEG funds. We reviewed his need and transportation reimbursement will be paid as his budget does not allow for this expense and there are no other resources to cover the cost.

Case Review

- Jim attended Truck Driving School from 1/31-3/4 and obtained a Class A CDL license. He is currently reviewing job opportunities in the local area.
- Jill completed her Radiology Technician training. She will accept a job with ABC Medical Facility. Employment has been verified and the hourly wage is \$17.50. She will be eligible for medical benefits after 6 months. She has been advised to contact the Career Center if additional services are needed.

Case Staffing

- Met with Tina's supervisors at LYZ State Park. Then I met with Tina. Tina understands her work expectations better and will speak with her appropriate supervisors regarding any future problems. I will contact Tina and the worksite next week for an update.

Customer Contact

- Don called today requesting assistance to attend a Dental Assistant training program through GZ Community College. He will come in on 10/28 at 9:30 am.
- Jim was laid off from DYY Manufacturing. I explained he needs to come in and go through the NGCC process prior to determining his next steps at the Career Center.

Customer Info Update

- Shelly called today to change her address. Record was updated.
- Ryan came in today to change his phone number. Record was updated.

Employment Plan/Participation

- Rachel and I developed her Employment Plan. She previously worked as an administrative office assistant for less than a year. She wants to be employed in this field again in a small to mid-size business. She will attend workshops on resume writing and career networking.
- Dennis and I reviewed his Employment Plan. He wants to become a welder and has finished training. There are no immediate openings without experience. I will contact LB Railroad Services for an OJT placement.
- Jill and I reviewed her Employment Plan. She previously worked in manufacturing. She will work toward a NCRC to obtain employment at GGN Manufacturing.

Job Development

- John wants a position as a car salesman and has previous sales experience. I spoke with John Bosco, owner of Bosco Motors, regarding a position and John's work skills and attributes. John will interview with Mr. Bosco on 3/2 at 2:30 pm.

METP Record Correction

- Staff entered Dave into the incorrect service of METP Conciliation Job Search 1 on 11/17. The following corrections were made:
 - 1) Changed the service from METP Conciliation Job Search 1 to METP Conciliation Job Search 2.
 - 2) Entered the alert for the date 11/17 as Enter Second Job Search.

- 3) Entered the alert for the date 12/15 as Complete Second Job Search.
- Staff failed to enter Ben as successfully completed METP Job Search 2 on 10/14. As a result, a failed alert was sent to FSD which began the sanctioning process. The following corrections were made:
 - 1) Changed the outcome for METP Job Search 2 that began on 09/16 from “Did Not Complete” to “Successfully Completed.”
 - 2) Changed the end date from 10/22 to 10/14.
 - 3) Entered the alert for 10/14 as Complete Second Job Search.

Problem Solving

- Janice is making satisfactory progress as a Dental Assistance at GLB Community College. She has 3 absences and 2 late arrivals during the current semester due to transportation. Her transportation has been resolved since she purchased a reliable vehicle and has been receiving transportation reimbursement for the days she attends class.

Progress Evaluation

- Met with Adam at DCY College. He is doing well in school, but finds Anatomy and Physiology difficult. He has an appointment to meet with a tutor tomorrow. We will meet again on 03/15 at 2:00 pm.

Referral

- Steve completed 11th grade and has not obtained a GED. TABE tests indicate a Math Level of 7.5 and Reading Level of 9.3. He was referred to Career Center AEL classes for skills remediation and preparation for the GED test.

Service Closure

- Jim graduated from ND Institute. I closed the Occupational Skills Service. Supportive Service was also closed as he no longer needs transportation assistance.

Skills Review

- Pat has a certification in Microsoft Office, Word, Outlook, PowerPoint, Excel, and Access. She types 45 WPM. She is interested in employment as a customer care representative, office support assistant, or data entry specialist.

Supportive Services

- Sue will begin classes at LG College next week. She stated she needs transportation reimbursement. We reviewed her need and determined there are no other community resources and her budget does not allow for the expenses. She will get \$0.25 a mile for travel to and from classes.

Unemployment Insurance (UI) Four Week Reporting

- Randy came to the Career Center to complete the four-week reporting requirement. He completed the WIN during his last visit. He was referred to AEL classes for remediation.

Youth Follow-Up

- Kyle graduated from high school on 06/16 and provided a copy of his diploma. He plans to enroll in SLT University to become a Kindergarten teacher. He will receive follow-up services for a minimum of 12 months. He will continue to receive transportation reimbursement of \$0.32 a mile based on previous determination of need.

Determining Appropriate Service Notes

Example #1

“Tina called me and she bought a truck and is getting it tagged and etc today. She picked up an app for assist for daycare, but got home and realized it was the wrong thing, so she will stop by and pick up a new one today. Also she went to the college and tried to get her college schedule, but couldn’t get it because it was not time to register. Also, she is going to be doing some job searching now that she has a vehicle and she has a doctor’s appt today for her son, so she can’t make it, but she is going to come in on the 12th at 10 am”

Service Note Review:

- Contains too many details that are not relevant.
- The doctor appointment for her son is not appropriate in this scenario (unless it would have impeded her ability to participate in the training program).
- Does not contain dates.

Appropriate Service Note:

“Tina has obtained transportation. She will get a class schedule on 12/22. She is still trying to obtain childcare and has applied for federal assistance. Her next appointment is 1/12 at 10:00 am. We will discuss job search at that time.”

Example #2

“Called and talked with Deanna’s mom and she said that Deanna is still in rehab. She put herself in for drug treatment, per her mom she was on meth and marijuana and oxycontin. She said she will be released the 21st. Since she admitted herself her mother has had the children (2) and she hopes to keep the children after she comes home.”

Service Note Review:

- Should not be discussing the recipient’s situation with her mother, unless this information is volunteered. If it is volunteered, only include information on the customer’s ability to participate in the program.
- Any speculation from her mother should not be included.
- Should not include information regarding specific substance abuse or child custody.

Appropriate Service Note:

“Called Deanna’s phone number listed and her mother answered. Her mother indicated she is unable to participate in the program at this time. See confidential information record. I will verify her ability to participate in the training program.”

Example #3

“Telephone call to Nina. She states that they are working on car repair. She states that her boyfriend lost his appeal on UI. He has not been able to find a job. She states that she will go see about getting vehicle licensed, however she was wondering if there could be help with purchasing a tire.”

Service Note Review:

- Information about other individuals should not be listed.

Appropriate Service Note:

“Called Nina and she is working on getting transportation. She wants help paying for a tire to attend classes. Reviewed her need and determined there are no other community resources and her budget does not allow for the expenses. I will complete the paperwork for this request.”

Example #4

“We discussed Bonnie’s assessment and she scored well in the areas of Scientific and Humanitarian. She is interested in the nursing field and would like to obtain an undergraduate degree in nursing, but will not return to school until this fall. She will complete a job search at this time to find a job during the summer.”

Service Note Review:

- Appropriate.
- Contains all necessary information.
- Detailed enough for anyone to easily understand.

Example #5

“Jenny called our office to report that she suffered a serious injury in a fall at work. She has multiple fractures in her legs and feet and is confined to a wheelchair. She was due to have surgery at LT Hospital several weeks ago, but it had to be postponed until today because the doctors needed to regulate her vital signs before adding additional stress to her system.”

Service Note Review:

- Inappropriately contains confidential medical details.

Appropriate Service Note:

- “Jenny will not complete this semester and will provide documentation. See confidential information record.”

Example #6

“I am disappointed that Lisa has failed to follow-up with our office. We are located near to her home, she qualifies for federally funded childcare, and it would not be difficult to assist her in finding employment, especially since she is training to become a nurse. There are many entry-level positions available in the healthcare field.”

Service Note Review:

- Service Notes should not indicate the service manager’s personal opinion or pass judgment.

Appropriate Service Note:

“Lisa did not come to her appointment today to discuss employment and childcare.”

Example #7

“Greg is eligible for transportation reimbursement to assist with training. It is very important to the WIA program to provide Greg with the highest possible quality of service and benefits while also meeting the monitoring requirements of our program. “

Service Note Review:

- The statement regarding the WIA program is inappropriate since this statement does not apply only to this specific customer and is already the program requirement.
- The justification for Supportive Services must be included in the Service Note.

Appropriate Service Note:

“Greg is going to begin training at GG Tech and states he needs transportation reimbursement. Reviewed his need and determined there are no other community resources and his budget does not allow for the expenses. He will receive reimbursement for transportation expenses if he brings in the required paperwork.”

Example #8

“Spoke with Charlene by phone. She will be in either today or Monday, depending on an issue with her car. She is starting school on Monday. Nathan is currently incarcerated in Jefferson County due to failure to appear for a court date. She would be interested in the evening computer classes if she had child care. If Nathan is able to return to the home next week, she might be able to take an evening class.”

Service Note Review:

- Information about other individuals should not be listed in the Service Notes.

Appropriate Service Note:

“Charlene stated she will come to the office today or Monday, depending on transportation. She will begin school on Monday. I explained the paperwork she needs to bring with her. She may also take evening classes if she can get childcare.”

Example #9

“Tom is attending BB Tech and is being considered for a paid internship. His girlfriend is suffering from an injury that is covered by workman's comp and she will be having back surgery too. She also gave birth on 12/23 so she has not been referred for work yet.”

Service Note Review:

- Information about other individuals should not be listed in the Service Notes.

Appropriate Service Note:

“Tom is attending BB Tech and is being considered for a paid internship.”

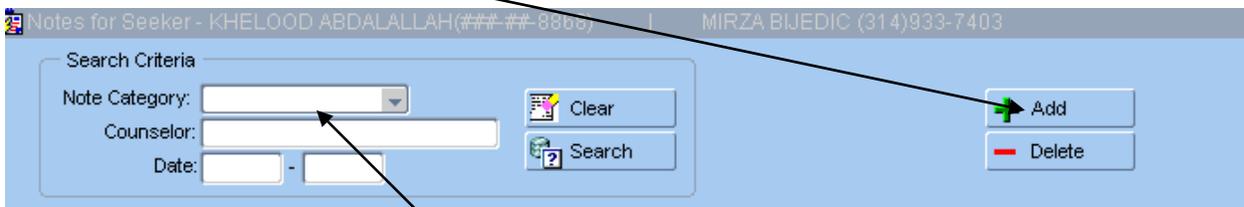
SERVICE NOTE TOOLBOX INSRUCTIONS

Entering Service Notes:

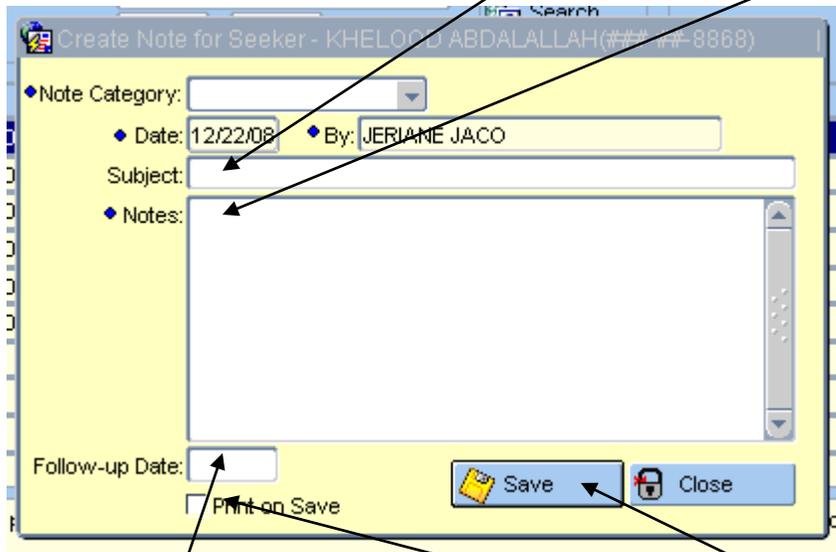
1. Click on the 'Notes' icon.



2. Click the 'Add' button.



3. Select the appropriate 'Note Category' drop down menu item.
4. Type the appropriate information in the 'Subject' field and enter 'Notes'.



5. Enter 'Follow-up Date' if appropriate.
6. If you want a paper copy for the record click to select the 'Print on Save'.

7. Click 'Save'.