New Mexico Workforce Connection

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Case Notes	ADW	
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Purpose

This topic provides information on for appropriate and acceptable participant case notes.

Policy

In accordance with WIOA, the contract between SAWDB and EWS requires that case notes are completed in detail for any and all contact with a case.

Who Is Involved

Talent Development Specialist, Program Coordinator, Quality Assurance Analyst

Procedure

STEP	ACTIVITY
1)	Case notes are required for any contact with a case. Case notes are to be completed within 1 business day of the contact.
2)	Case notes must be entered in NMWCOS.
3)	Avoid using acronyms of any kind.
4)	All case notes detailing participant interaction are to follow the B.R.O.C.R.I.P. structure, detailed in the Make a Note of It Resource.
5)	Begin writing case notes by asking the questions (Be specific): • WHO? • WHAT? • WHERE? • WHEN? • WHY? • HOW? • HOW MUCH?
6)	Case notes should be used to document: • All communications and interactions • All meetings, interviews, visits, testing sessions, telephone conversations, emails, letters

	• The registration, enrollment into WIOA, execution of services including training, supportive services, case closing, and exiting and follow-up of each case
7)	Case notes must be: • Clear and Succinct • Relevant • Useful • Objective
8)	Case notes should not be: • Redundant or repetitious • Subjective • Look and read the same since the populations served are diverse
9)	In addition to these guidelines, there are specific requirements when entering case notes regarding specific services provided. A case note is required for every service provided to a participant. The case note must be entered within 1 business date from the time the service is provided, or documents are generated and signed by the participant. The following information must be included in the case note. • Type of service delivered • Service/training dates • Training Provider information, if applicable • NMWCOS Activity code details • Funding amount with details on different categories (ex: tuition and books) • Date of signature obtained from participant • Anticipated future actions/services

Additional Guidance

Use the following checklist to ensure case notes are comprehensive, complete, concise, and clear:

- Include a date at the beginning of the case note
- Explain the activities that are moving the client towards success and self-sufficiency and completion of goals
- Show that the client has taken ownership of choices and decisions
- Focus on observations and objective information
- Do not make subjective or judgmental statements

- Incorporate all documents, forms and records used or signed into the case note (e.g., referral forms, orientation notices, employability plans, release of confidential information forms, etc.)
- Show that the actions taken meet the policy timelines
- Accurately relate your interactions with the client
- Include all relevant facts (i.e., who, what, where, when, why, how and how much)
- Show frequency of contact with the client. It is expected that client contacts will take place at least once a month and more frequently, if required by the contract or client need.
- Use standard, consistent abbreviations but keep abbreviations to the minimum.
- Include your initials at the end of each entry
- Make sure all case notes are in chronological order. If you fail to note an occurrence and after the fact choose to add a case note to the case history, be sure to use the date you are making the note as the actual date and refer back to the date of the occurrence. For example:
  9/12/08: In reviewing the case notes, I wish to add the following: On 8/31/08 the following occurred ………………
- After writing the case note, check it using the questions Who? What? Where? When? Why? How? How Much? To make sure you have a comprehensive and clear explanation of the facts. Correct or add to it, as needed.

Related Procedures

WIOA Enrollment
WIOA Plan Procedures
ITA Contract Process
OJT Contract Process
Supportive Services Request Process
Make a Note of It Guide

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