



**Trident Workforce Investment Board
Workforce Investment Act**

CASE FILE POLICY

TO: Trident Workforce Investment Area Contractors and Staff
ISSUANCE DATE: June 30, 2008
SUPERSEDES: May 1, 2007
SUBJECT: Customer Case File/Case Note Policy
REFERENCE: SCVOS (VOS) Procedures Manual & State WIA Procedures

PURPOSE:

The purpose of this policy is to establish guidelines for the creation and maintenance of the Trident Workforce Investment Area's WIA customer case files.

POLICY:

In accordance with Section 1 of the SCVOS Procedures Manual & State WIA Procedures, the official case file is the electronic VOS file. Therefore, any items that may be documented on the Case Notes in VOS need not be maintained in the hard copy file. However, certain hard copy documents are required to be maintained in customer case files. VOS documents that require an applicant signature (WIA applications and IEP) must be maintained in the hard copy file.

A handwritten signature in blue ink, appearing to read "P. Connerty".

Paul L. Connerty, Administrator
Trident Workforce Investment Board

6/30/08
Date



PROCEDURES FOR CUSTOMER CASE FILES

Changes made to original documents requires the initials of the WFS/CC and the Customer to the document where the change occurs.

A. Creation of Customer Case Files:

Each one-stop and youth contractor may develop their own file design with the following conditions:

1. All WIA staff must follow their agency's design. Files must be uniform.
2. Files must contain "Section Heading" pages that list what documents must be maintained in each section (if applicable).
3. The file design must include the required documentation outlined in the SC VOS Manual, Section 1.

B. Case Notes:

1. VOS Case Notes:

Case notes created in VOS must be entered and maintained in accordance with the SC VOS Manual, Section 5. VOS case notes do not need to be maintained in hard copy format in the case file. VOS case notes are to be entered at a minimum once per month (every 30 days) to document customer's progress in the program_and/or if issues occur which require a case note and show contact between customers and Workforce staff.

2. Required Elements of Case Notes:

To ensure that case notes "tell the story" of the customer's progress and participation in WIA, they must include the BROCRIP method or the following elements if applicable:

- Topic(s) of discussion and/or purpose of the case note.
- Current status of the activity/employment the customer is involved in.
- Obstacles or problems identified if applicable to customer's success.
- What steps were taken to resolve the identified problems/obstacles?
- Follow-up/Status made on the problems.
- Employer contacts in accordance with the guidelines established in the WIA contracts and local policies.

3. Uses of Case Notes:

Not only should case notes "tell the customer's story", they will also document the following only if there are changes:

- Reviews of the Adult/DLW Individual Employment Plan (IEP) and Youth Individual Service Strategy (ISS) in accordance with the guidelines established in the WIA contracts if needed. If changes to customer's IEP/ISS are needed, the customer and workforce specialist must initial and date. See Supportive Service Policy & Procedures for further case note requirements

4. Case Note “DON'TS”:

The following must be avoided when writing case notes:

- Using initials and abbreviations that are not understandable;
 - Using Names of people without identifying whom they are associated with (example: Referred WIA customer to Susie);
 - No interjecting personal opinions. Only use facts
 - Being too brief and eliminating pertinent information; and
 - Being too long and including unnecessary or duplicate information; and
- Specific medical information in case notes is prohibited unless necessary. Information should be included only if it affects the customer's ability to obtain or retain a job or hinders customer's progress in the program:

- **Case notes do not have to be entered to reflect the creation of an activity unless necessary. Information related to the activity can be entered in the comment section of the activity.**