CASE MANAGEMENT
and
WRITING EFFECTIVE CASE NOTES
Training Objectives

• Define Case Management

• Describe the different situations that call for Case Notes

• Identify the Department of Labor requirements for Case Notes

• Describe what constitutes OBJECTIVE Case Notes and demonstrate how to write them

• Demonstrate how to document Case Notes in the Job Ready system
Definition: Case Management

Case management is a collaborative process that assesses, plans, implements, coordinates, monitors and evaluates the options and services required to meet the client’s human service needs. It is characterized by advocacy, communication, and resource management and promotes quality and cost-effective interventions and outcomes.

The case management workflow or process is designed to move the case to its successful outcome.
Case Management Philosophy

Everyone directly or indirectly involved...

...in a client’s progress on the Experience Works program should appropriately manage, efficiently provide, adequately document, and effectively execute the client's direction and development while in the Senior Community Service Employment Program.
Case Management Solar System

- People
- Data
- Content
- Collaboration
- Reporting
- Policies
- Events
- Communication
- Process
Definition: Case Manager/Case Worker

A person who assists in the planning, coordination, monitoring, delivery, and evaluation of services.

- ETC
- State Manager
- State Director
- Office Assistant
- Participant Assistant
- Data entry staff
- Payroll staff
- HR staff
- Other
What are Case Notes used for?

Data Validation
TAM #08-03

Counseling

Guidance

Communicate (staff to staff)

Providing a better level of service
- Case notes = the center of case management system
- All information that needs to be shared should be entered there
In addition to the paper form required for each action, a case note should be entered each time we do:

- Job Ready registration
- Job Ready assessment (1-5)
- SCSEP enrollment
- Each new IEP
- Community Service Training review
- Each reassessment
- Each time the participant completes a in-house training
- Outside training
- Each supportive service
- Each job club or co. meeting
- Each LWOP
- Each transfer/rotation
- Each problem or issue
- All other notable interactions.
- Other
Service Related Case Notes

- Payroll
- Monitoring
- Change in hours
- Compliance
- Missing time sheet
- Expedited pay

- Recertification
- Durational Limit
- Change of SCSEP provider
- Data validation
- Others?
What else can case notes support?

- Recertification
- Assistance from payroll, state office
- Follow-up 1,2,3 results
- “For cause” exit determinations
- Durational limit notifications
- Change in hours
- DL waiver determinations
- Support services paid/delivered from state office
- Confidential (i.e., WC, medical, grievances)
- Others?
<table>
<thead>
<tr>
<th><strong>Advantages of collaborative, unified case notes</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Saves time &amp; money</strong></td>
</tr>
<tr>
<td>No printing, sharing or hunting missing case notes</td>
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<tr>
<td><strong>Streamline service</strong></td>
</tr>
<tr>
<td>Check the case note record:</td>
</tr>
<tr>
<td><strong>Completes the record</strong></td>
</tr>
<tr>
<td>Makes it easier for everyone to connect the dots.</td>
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</tbody>
</table>
Other advantages

- Strengthens integrity of case record
- Allows for smoother staff transitions
- Minimizes risk
- Strengthens morale
- Allows for the case record to exist independent of any one staff person.
- New staff can pick up where the last one left off.
- No gaps in service delivery.
- Lightens the load, eliminates redundancies and simplifies many of our processes
Case Management Sets the Course

Enrollment → Case Management → Exit
Case Notes Document The Journey

Intervention/
Course Correction/
Case Note

Enrollment  →  Exit

www.freeworldmaps.net
Behind every case we manage is a person who has come to us for help.
stay objective

writing case notes helps service delivery...

- Forces you to make intuitive processes explicit.
- Requires legally appropriate “framing.”
- Prevents decisions based on faulty assumptions.
- Requires research.
- Allows accountability.
- Counterbalances decision-making errors.
- Improves process of planning service delivery.
Just the facts!
Focus on **OUTCOMES** not **OUTPUT**

**Output:**
The amount of something produced

**Outcome:**
The successful result of a plan

More is not better.
Better is better.
If it isn’t documented it didn’t happen!
Proper Case Notes Protocol

- **Document**—Write it down immediately.
- **Research**—Test your assumptions. Get the facts.
- **Plan**—Take time to think. Decide what course of action to take.
- **Execute**—Take action. Then document again.
- **Accountability and review.**
1. Immediate Documentation

Case notes should be written as soon as possible after the contact, meeting, situation or incident occurs.
2. Based on facts

- Do you have all the facts?
- Anticipate questions a monitor might have
- Is your account black and white?
- Are there any signs of bias?
- Should be objective, not subjective.
Fact or Opinion

- Avoid bias by leaving personal opinions and assumptions out.
- Do not cut and paste an e-mail from another source if it isn’t objective.
- Facts are observations: what you saw, what you heard, and information that was provided.
“I think”
“It is my opinion”
“It seems to me”
“I assume”
“Probably”

**ALERT!** If your case notes include (or could include) these phrases—your case notes are your own opinions, not facts.
Standard requirements for SCSEP case notes are set by the USDOL
The Following 5 Elements Are Required

1. Source of information:
   a. Name of source
   b. Organization
   c. Title
   d. Phone number
   e. Relation to participant

2. Case note creator
   a. Name
   b. Title
   c. Phone number
The Following 5 Elements Are Required

3. All relevant dates:
   a. when the event occurred
   b. when the information was obtained
   c. when it was recorded, if different.

4. NOTE: Initials next to changed data on eligibility or attestation forms do not constitute case notes. (DVHandbook, Rev 8, Dec 2014, page 40-41)

5. Sufficient information to detail specific events or decisions.
Who

- Name of the person(s) involved
- Names of any other people that may have witnessed, or have first-hand knowledge of the case
- Include Job titles (avoid abbreviations)
- Include phone number
- Include who was present when the event occurred
- Include who was present at the follow-up contact
- Who reported the incident?
- Who completed the Case Note?
- Who was consulted?
When

- When did the event or situation occur?
- Dates and time
- When did contact take place?
- When *should* contact have taken place?
- When were the Case Notes completed?
- When is follow up scheduled?
What

- Provide only fact based observations.
- Avoid personal opinions and hearsay
- Interview all involved
- Find out what happened
- What *should have* happened
- What was said
- What was done *or not done*
- Describe the event or situation
Where did the event or situation occur?
Name of Host Agency
Address
Name of meeting place
Address
Where did the follow-up contact occur?
Why

- Why is the event significant?
- Does it relate to the training plan?
- Does it relate to Experience Works policies and guidelines?
How was contact made--in person? Phone? Email? Other?

How did you become aware of the situation?

How did you address the situation?

How did you resolve the problem?

How did you provide follow-up?

How will you monitor the situation going forward?
3. **Research.**

Test your assumptions.

What needs to happen next?

- Are there other documents to reference?
- Is this an on-going situation that has been previously documented?
- Identify possible strategies for addressing this problem
- Select the best solution for this person at this time
- State short term goals/steps to take
- Revise long term goal?
4. Execute service delivery

Using your case notes as a guide, plan your next steps.
5. Accountability and Review

- Available to staff with a need to know
- Can be picked up and continued by the next case manager
- Meet legal standards
- Help, not harm
- Follow Data Validation Handbook
Case Note for
Lucy Ricardo

Subject: Review
EW Representative: Judy Mills, ETC
Contact Type: Meeting
Date: 2015-06-01
Comments: Completed review with supervisor
Ethel Mertz called, the Principal at the school where she is training said he received two complaints against her, the complaints were she was rude when she answers the phone, and he spoke to her about doing a better job when she answer the phone. Ethel said she was never rude to anyone who calls to the school.
Improper case notes

Case Note for
Red Skelton

Subject: Durational limit
EW Representative: Judy Mills, ETC
Contact Type: Regular Mail
Date: 2014-12-24
Comments: Mr. Skelton’s durational limit is January 22, 2015.
Improper case notes

Case Note for
James Jones

Subject: Medical Exit Papers
EW Representative: Judy Mills, ETC
Contact Type: Regular Mail
Date: 2014-01-20
Comments: Mailed James a medical exit form.
While at the Partners meeting 5/14/15 the director mentioned she needed a janitor. I told her about Jim’s many qualifications. He met with her and filled out an application. He was called for an interview and it went very well. We should know the outcome in a week or so.
Improper case notes

Case Note for
Barney Fife

Subject: HA/CS Training Review Due/
Fed Internal Monitoring Response
EW Representative: Bea Taylor, SPM
Contact Type: Other
Date: 2015-06-01
Comments: ETC to focus on IEP re-assessment completed at least twice a year.
Case Note for Thomas Jones

Subject: Transfer
EW Representative: Polly Crackers, SPM
Contact Type: Other
Date: 2015-06-01
Comments: Transfer to Goodwill 2015-16 SCSEP grantee
Improper case notes

Case Note for
Emily Latella

Subject: Self-Attestation Exit
EW Representative: Annie Hall
Contact Type: Fax
Date: 2015-06-01
Comments: Emily Latella has been away from her assignment for medical reasons.
No diagnoses
No clichés
No street talk

No Stereotypes
No Jargon (CSA, HA, LWOP, DL)
No personal opinions
No prejudices
GOOD CASE NOTES

- Timely
- Clear and brief
- Concise, precise
- Accurate and complete
- Readable – acceptable grammar
- Most of all objective and based on fact
Remember Confidentiality:
Especially with information related to a participant’s medical condition or disability (TAM #08-08)
Q. Does this mean that I should not reference Medical Information in my case notes or emails?

A. No. But you should try to keep any such references to a minimum. And once you make the reference, which should only be factual, print out a copy of the case notes and/or email, forward it to the Customer Service Center to be kept in the participant’s confidential medical file, and delete the document or email from your system.
When documenting a medical condition...

Two case notes are required:

   a. Include all required data elements.
   b. Refer the reader to the participant’s confidential file
   c. Make a generic reference such as “medical condition” but never reference a diagnosis or specific condition.

   **Acceptable:**
   
   Participant said they have a medical condition.

   **Not acceptable:**
   
   Participant said they have high blood pressure.
Two case notes are required:

2. More detailed—to keep in CSC confidential file only.
   a. Include all required data elements.
   b. State individual voluntarily disclosed this information.
   c. Write exactly what was said—direct quote from participant.

All electronic copies of this information should be deleted and paper copies properly disposed of.
When writing Case Notes Consider:

• What is or is not appropriate for Participant Assistant involvement

• Who might eventually read the Case Notes

• Case Notes (along with e-mails) can be subpoenaed

• If in doubt, check with your supervisor.
You can document 8 of the 13 MIN characteristics using either self-attestation OR case notes.

When case notes or self-attestation are used to document the MIN characteristics, the Case Note Forms or Self-Attestation forms must be used.
Documenting MIN characteristics

- At Risk of Homelessness
- Homeless
- Failed to Find Employment after Using WIA Title 1
- Limited English Proficiency
- Low Employment Prospects
- Low Literacy Skills
- Veteran Status
- Severely Limited Employment Prospects and Lives in an Area of Persistent Unemployment
Many MIN factors require additional information in the form of detailed case notes that go beyond the minimal case note standards.

Each MIN has its own additional information requirements listed in the instructions for the form.
Location of Case Note Forms and Instructions

- Case Notes Forms
  - At Risk of Homelessness: Yes
  - Failed to Find Employment Using WIA: Yes
  - Homelessness: Yes
  - Limited English Proficiency: Yes
  - Low Employment Prospects: Yes
  - Low Literacy: Yes
  - Persistent Unemployment- Severely Limited Employment Prospects: Yes
  - Veteran Status: Yes

- Attestation Forms
  - At Risk of Homelessness
  - Failed to find emppl after using WIA
  - Homeless
  - Limited English Proficiency
  - Low Employment Prospects
  - Low Literacy Skills
Or go to http://ewjobready.com
**Important Information**

If you choose to continue, you will have access to a variety of services to help you be more successful in finding employment or in locating resources.

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You must click *Agree* to continue.

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**Choose from the following**

- User Login
- Administrator Login
- Create New Account

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**Administrator Login**

- Admin ID
- Password

Login

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**Dashboard**

**JobReady tutorials and important files**

To create new Administrators or Locations, and access Reports, click on the appropriate menu item above.

Use the search options below to work with existing Users, Administrators or Locations.

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**Search for a User**

<table>
<thead>
<tr>
<th>Participant #:</th>
<th>Username:</th>
<th>First Name:</th>
<th>Last Name:</th>
</tr>
</thead>
</table>

Search >
### Search Results

<table>
<thead>
<tr>
<th>Legend</th>
<th>First Name</th>
<th>User Name</th>
<th>Status</th>
<th>Loc. Code</th>
<th>Registration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>![Edit User]</td>
<td>Mary</td>
<td>mfabreeze</td>
<td>Active</td>
<td>EW-PA-9999-9</td>
<td>29 MAY 2015</td>
</tr>
</tbody>
</table>

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#### Case Note for Mary Demo01

**Subject:**

**EW Representative Full Name and Job Title (e.g. John Smith, ETC):**

**Contact Type:**

- Select

**Date:**

- 2015-11-24

**Comments**

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**Buttons:**

- [Download CSV]
- [Add Entry]

**Actions:**

- [Cancel]
- [Continue]
Remember:

Your Case Notes could end up in a courtroom!
Have we met these

- Can you Define Case Management?
- Describe the different situations that call for Case Notes?
- Identify the Department of Labor requirements for Case Notes?
- Describe what constitutes objective Case Notes and demonstrate how to write them?
- Demonstrate how to document Case Notes in the Job Ready system?
Happy Thanksgiving!