Kentucky Career Center **POLICY**	**POLICY NAME: Case Notes** **Date of Issue: 11/1/13** **Effective Date: 1/1/14 for all new enrollments**
	Applies /Of Interest To: Staff in services that require case notes and have ongoing interaction with customers, including WIA, VETS and Trade.

Subject	Case Notes Policy
Purpose	To provide guidance on the use of case notes in documenting services and to establish statewide continuity and conformity. Effective case notes enable customers to be well served even in the event staff changes, provide necessary back-up in the event of complaints, and may always become a matter of public record and are thus developed with care.

Background	Based on results of program monitoring, case notation has been sporadic and inconsistent statewide.

Policy	Effective case management practices include comprehensive case notes. Case notes document details about: intake, evaluations, participation, outcomes, service decisions, one-on-one meetings, achievements, and follow-up services. The purpose of case notes is to provide a detailed description of an individual's participation in services.
	
	Each customer will have case notes in EKOS documenting relevant information beginning with intake and continuing through case management, training, and follow-up services. Local workforce areas should develop policies and procedures that comply with this policy.
	
	Detailed case notes will include the following:
	o history and details of the customer's situation, including both strengths and barriers;
	o WIA activities provided or planned (if applicable)
	o a description of how the customer will benefit from designated services;
	o details of significant events;
	o the need for modifications in the customer's training or services;
	o information provided orally or electronically by service providers;
	o information on contact with the customer to include:
	    o date and manner of contact (face-to-face, phone call, e-mail, etc.);
	    o purpose of the contact;
	    o information provided by the customer;
	    o outcomes of the contact; and
	    o if quoting the customer, must use quotations and state exactly as customer

	stated. o customer's progress toward goals; o need for additional services; o any new information pertaining to customer's employability; and o verification of post-exit outcomes (must meet the requirements of data validation). **Case notes should ONLY include staff opinion, comments, and personal details about the customer to the extent that the information relates to the likely employability and/or training success of that customer.** Case notes will be written at the time of the event or contact and entered into EKOS as soon as possible, not to exceed 10 business days. Case notes will provide a complete and relevant narrative of a customer's progress through all stages of participation.

Procedural Guidance	Issued Nov. 1, 2013 to be effective January 1, 2014 for any new enrollments.

Supercedes/ Replaces	All policy and or correspondence previously issued by the Office of Employment and Training.

Other References	TEGLs 17.05 (3), 33.12 and 38.12