

CASE NOTES

perspectives from
POLICY, MONITORING, TECHNOLOGY

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AGENDA

- POLICY PERSPECTIVE
 - Purpose and importance of case notes
 - Case notes as source documentation for data validation purposes
 - Characteristics of quality case notes
- MONITORING PERSPECTIVE
 - What monitors look for in case notes
 - Top 3 case note issues
- PERFORMANCE PERSPECTIVE
 - Creating case notes in NEworks –a demonstration

POLICY PERSPECTIVE

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Purpose and importance of case notes



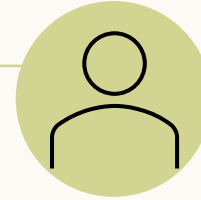
TELL THE STORY

- Provide details on participant circumstances and employment and training service needs
- Serve as documentation that defines and supports your quality service delivery



PROGRESS

- Document participant progress
- Identify changing participant circumstances and employment and training service needs
- Document reasons for modifying service delivery plans



ACCOUNTABILITY

- Allow program management staff, as well as state-level and local-level monitoring staff, to determine whether program participants received adequate and compliant program services
- May be considered, under certain conditions, as a type of acceptable source documentation

Case notes as source documentation for data validation purposes



FEDERAL MANDATE

- WIOA Sec. 116(d)(5) requires that states establish procedures for ensuring data in performance reports submitted to the US Department of Labor are valid and reliable.



STATE POLICY

- The NDOL Reemployment Services Division (RS) established the Records Management policy
 - Included in the State's policy manual, accessible at <https://dol.nebraska.gov/ReemploymentServices/Training/WIOA/Policies>
- The Records Management policy:
 - defines annual data validation procedures
 - identifies TEGL 23-19 Attachment II as the guidance document to determine acceptable types of source documentation during annual data validation



COMPLIANCE

- TEGL 23-19 [Attachment II](#) defines types of acceptable source documentation that document evidence of service delivery.
- Case notes may be considered an acceptable type of source documentation, in certain cases.

Characteristics of quality case notes

Clear	<ul style="list-style-type: none">• Must be clear and easily understood• Someone that has had no contact with the participant should be able to read case notes and get an accurate picture of what services are being provided, the date of services, and justification for those services
Concise	<ul style="list-style-type: none">• Brief but comprehensive
Useful	<ul style="list-style-type: none">• Just the facts, as you know them• Remember to include who, what, when, where, why, and how, as well as next steps that are planned with the participant
Privacy and confidentiality	<ul style="list-style-type: none">• Should not include disability information
Relevant	<ul style="list-style-type: none">• Include only things that are relevant to service delivery• Comments might be made in passing that do not need to be included in official records
Timely	<ul style="list-style-type: none">• Should be recorded within a reasonable amount of time after the activity takes place to ensure accuracy
Identifiable	<ul style="list-style-type: none">• NEworks automatically tracks the author of the case note and date and time it was written

MONITORING PERSPECTIVE

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What monitors are looking for in case notes

Top 3 questions we ask

1. Do the case notes correspond with the activities or activity codes listed in the participants file?
2. Do the dates recorded and/or mentioned in the case notes align with when participant's activities occurred?
 - In other words, we are looking to see if we can read the case notes and understand the progression of program participant activities.
3. Are there any discrepancies or missing time periods in the participants file?

Top 3 case note issues

1. Discrepancies between *Contact Dates* and *Create Dates*
 - Delayed recording of participant contacts or activities
2. Participant activities recorded or assigned that are lacking mention in the case notes
 - Difficulty in following or understanding the progression of events
3. Abrupt changes in the focus of a case manager's service delivery, or of the participant's goals and objectives

PERFORMANCE PERSPECTIVE

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Creating a case note in NEworks – demo

