



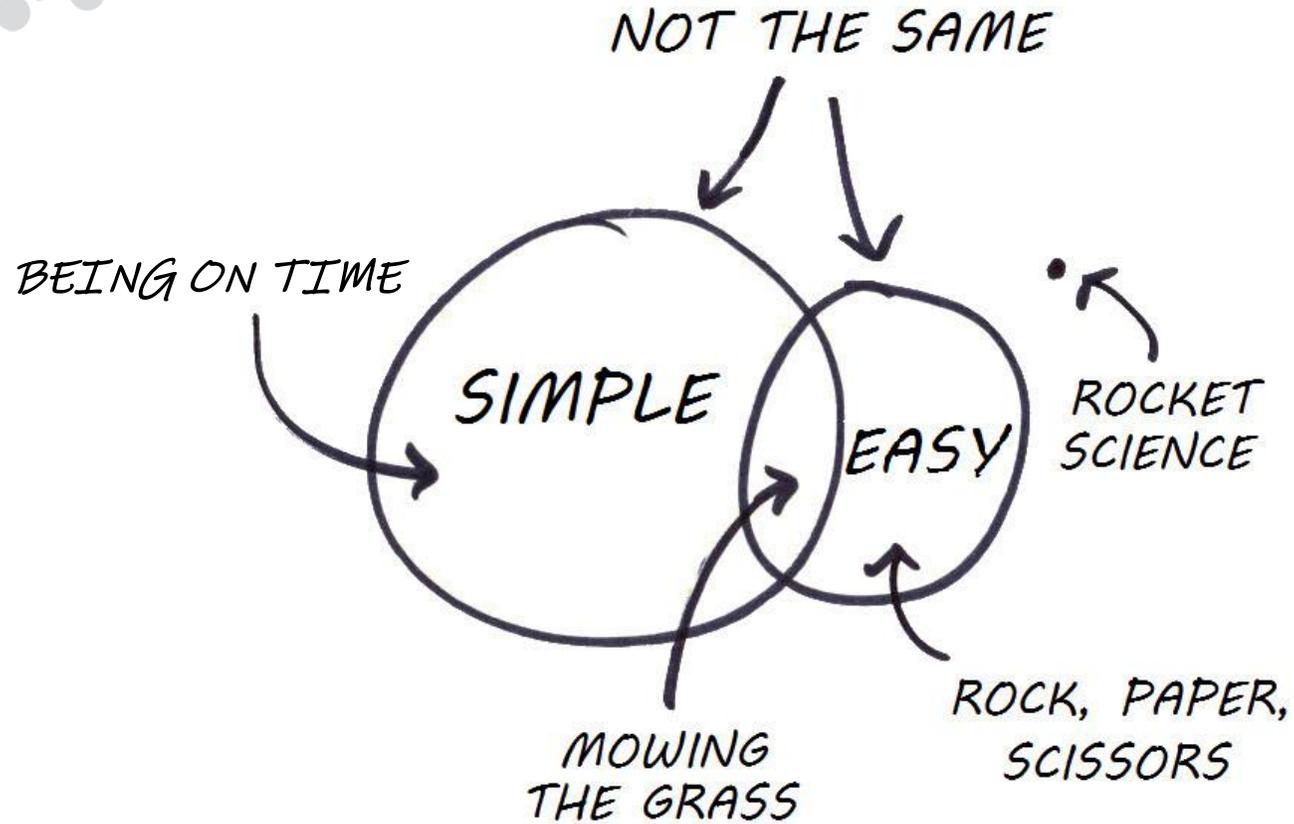
# Maintaining Effective Case Notes

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Office of Planning, Integrity, and Compliance

November 2022

**DLT**  
RHODE ISLAND



# Effective Case Notes – Presentation Content

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Today's presentation will cover:

- **What** is an effective case note?
- **How** case notes are used to provide program accountability, as well as documenting a participant's achievement
- **Why** timely concise, accurate, and standardized case notes are important
- **How** to effectively record and organize a case note
- **How** to enter and view case notes in EmployRI

# What is a Case Note?

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- Case notes are the chronological records of interactions, observations, and actions involving a WIOA participant
- Case notes “tell the story” of the participant’s experience.
- Case notes provide a record of all the things that happened with a participant during their participation under the WIOA program including Follow-Up.

# Why are Case Notes Important?

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- Case notes provide a step-by-step outline in case....
  - A staff member leaves the organization and new staff takes over the case
  - Other staff may need to access case records when working with the same participant
  - Can help ensure good practice by supporting the delivery of services to a participant
  - A supervisor needs access to the information, or
  - A participant's records are requested by federal, state, or other authorities..
- Case notes are also important:
  - For accountability to the participant, the provider, the funder, and partnering organizations

# What is an included in an Effective Case Note?

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# Effective Case Notes

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An effective case note conveys the information that is relevant to the interaction or service being provided.

An effective case note should be:

- Recorded in a TIMELY manner (Ideally within 24 hours)
- Clear and well-written (no typos or grammar errors, few ‘insider’ acronyms)
- Accurate, concise and complete
- Objective and impartial

# Effective Case Notes

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## Include:

- Service Name
- The Who, What, When, Where, Why and How
- Behaviors reported by the participant, partner agencies, and/or training providers
- Factual observations
- Next Steps

## Do NOT include:

- Personal opinions, inappropriate comments, medical diagnosis, or any offensive statements
- Acronyms, abbreviations, jargon, or slang
- Unqualified statements

# Effective Case Notes

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**“JUST  
THE  
FACTS”**

- Who?
- What?
- When?
- Where?
- Why?
- How?

# Effective Case Notes – Who?



- Name of person(s) involved in meeting, phone call, incident, event, email, etc.
  - Participant
  - Family members
  - External providers or Employers
  - Agency Staff
    - Case Manager/Career Coach
    - Employment Specialist/Job Developer
    - Intake Specialist
    - Other authorized personnel that may have witnessed, or have knowledge of case

**Note:** Refer yourself as third-person in notes (do not use “I”)

# Effective Case Notes – What?

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- What was the purpose of the meeting, event or situation
  - Keep it relevant to IEP/ISS
    - Current goal
    - Long range goal
- What was discussed
  - Summarize the main points discussed
  - Include quotes when:
    - Relevant to participant's progress
    - Accurately recorded what was said
- What was done or not done
  - Justify the reason(s) for delivery of service
  - Find out what happened
  - What should have happened

# Effective Case Notes – When?



- When should staff case note in EmployRI?
  - Program Eligibility and enrollment
  - IEP/ISS including any updates
  - Supportive services provided
  - Assessments completed
  - Job Search assistance
  - ITA services
  - On-the-Job (OJT)/Work Experience (WEX) services
  - Placement
  - Exit
  - Follow-up
  - Any other participant updates
- When did the contact, meeting event, and/or situation occur?
- Dates and Times
- When is follow-up scheduled?

# Effective Case Notes – Where?

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- Where did the contact, meeting, event, or situation occur or will occur?
- Name of meeting places
- Include locations (addresses, cities, neighborhood communities, etc.)

# Effective Case Notes – Why?

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- Why did the contact occur?
- Why is the event significant to participant's case?
- Why is the service(s) being provided?
  - Is it related to an objective and goal?
  - Is it related to our WIOA policies and guidelines?

# Effective Case Notes – How?

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- How was the contact made?
  - In-person
  - Phone call
  - Email
  - Text
  - Other
- How did staff address the situation?
- How did staff resolve the problem?
- How will staff monitor the situation?

# Examples of Effective Case Notes

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# Effective Case Notes Example – Transportation

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## Bad Example:

Subject: Transportation

Contact Type: Face-to-Face

Comments: Participant starts training on Monday. Has no way of getting to destination. Provided him with a bp.

## Good Example:

Subject: Transportation-ITA Training

Contact Type: Face-to-Face

Comments: Participant attended scheduled appointment with CM to discuss plan on how to successfully complete his training. He is scheduled to start on 12/07/2022 at XXX Training school located at 123 Sample St, Providence RI. The training facility is 7 miles away from his home. He does not own a car and will be using public transportation. CM is providing a weekly bus pass to use between 12/07-12/11. Bus pass number XXX-XXXX-XXXX.

Participant is scheduled to follow-up with CM or call by 12/17 to provide a first week update. If needed after update, participant will come to office to obtain another bus pass. Participant states he is nervous but excited about training and looking forward to gaining certification. Transportation service has been opened and will remain open until service is no longer needed.

# Effective Case Notes Example – IEP / ISS

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## Bad Example:

Subject: IEP

Contact Type: Face-to-Face

Comments: Created IEP. Participant needs is seeking Full-time employment as a Pharmacy Technician.

## Good Example:

Subject: IEP

Contact Type: Face-to-Face

Comments: Participant met eligibility and is registered as a WIOA Adult participant, participant is currently receiving SNAP benefits. Participant has been certified as a Pharmacy Technician since March 2017 with an outside training provider. Participant has no vehicle and depends on public transportation. She is a single mother of 2; family assists her with child care.

Participant has expressed concerns about the lack of job opportunities due to no experience, she has been searching since receiving her certification. She is seeking a full-time position as a Pharmacy Technician within a 5 mile radius from her home with wages of \$13.00/hr or more. She will attend our Job club and Job Readiness training, Our agency will provide her with resume assistance and job leads for interviews. IEP has been created with these goals and signed by participant.

# Effective Case Notes Example – Job Placement

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## **Bad Example:**

Subject: Placement

Contact Type: Phone Call

Comments: Participant called to report that he has been employed at XXXX. He sounded excited and will call me when he receives his first pay check.

## **Good Example:**

Subject: Placement

Contact Type: Phone Call

Comments: Participant called Case Manager yesterday, 5/17/2022, to inform that he has been hired by XXXX. He received an offer letter via email and has forwarded the letter to save in his file. Per the documentation, the following information has been provided:

Position: Overnight Stock Member

Pay: \$11.50/hour

Benefits: Medical, Vision, Dental, Vacation

Start Date: May 23, 2022

Location: Cranston, RI

HR Contact: (If available) Mary Smith, HR Supervisor

Case Manager will contact participant in 2 weeks (by June 1, 2017) to follow-up with him to gain a copy of his first pay check and an update on his work progress. Participant has agreed on call and will contact Case Manager if there are any concerns or if any situations occur.

# Effective Case Notes Example – Same Day Service

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## Bad Example:

Subject: Career Planning

Contact Type: In-Person

Comments: Kate met with me to discuss what she has been doing to find a job. Kate is very immature and isn't taking her job hunt seriously. I provided her with websites and resources to search for employment.

## Good Example:

Subject: Career Planning-Same Day Service

Contact Type: In-Person

Comments: Participant met with assigned Employment Specialist (ES) to discuss a plan to gain employment as a receptionist. Participant currently has a resume which is not updated and has not devoted much time to her job search. ES and participant will update resume on next appointment meeting June 13, 2017. ES has scheduled participant to attend a 2-day Job Readiness workshop for June 17, 2017 participant expressed that she has no appropriate clothing for interviews. ES provided a list of non-profit organizations that provide interview clothing at no cost. Participant has advised she will attempt to go next week. ES and participant will work together to start scheduling interviews with companies by first week of July. There are no other concerns expressed by participant. participant will be ready for employment after completing all task.

# How to enter Case Notes into EmployRI

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# Recording Case Notes in EmployRI



Case notes tab is under the General Profile tab

[ Assist an individual | Staff Services | Individual Portfolio ]

- My Individual Profiles
- My Individual Plans
- Staff Profiles
  - General Profile
    - Summary
    - Case Notes**
    - Activities
    - Documents (Staff)
  - Case Management Profile
    - Case Summary
    - Programs
    - Plan
    - Assessments
  - Report Profile

Summary      Case Notes      Activities

[Add New Case Note] [Print Selected Case Notes]

+ Show Case Note Privileges  
+ Show Filter Criteria

You currently have no saved case notes

Add New Case Note

# Recording Case Notes in EmployRI



**Case Note Details**

Please check to suppress this Case Note

\* Contact Date:  Today. **Enter the Date the Contact occurred.**

\* LWIA/Region:  **Select Local Workforce Area**

\* Office Location:  None Selected **Select your agency name**

\* Program:  None Selected **Always select "Title I-WIOA"**

Partner Program:  None Selected

\* Subject:  **Enter name of service (e.g. transportation, assessment, ITA, etc.) Refer to service list**

Contact Type:  None Selected **Select type of contact : Face-to-Face, Telephone, Email, etc.**

\* Case Note Description:

**Enter Case Notes in this section**

[ [Spell Check](#) ]

# Recording Case Notes in EmployRI



**Message Options**

Create Message From Case Note on Save

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**Case Note Attachment(s)**

Listed below are the documents associated with this case note. Click the *View* link below to view that particular item.

No records found

Uploaded and scanned documents with spaces in the document name may be incompatible with some browsers. These spaces will be replaced with \_ when saving the document in our system.

[\[ Add a Document \]](#) | [\[ Scan a Document \]](#)



**CONGRATULATIONS!**  
**CASE NOTE COMPLETE**

# How to view *suppressed* Case Notes into EmployRI

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# Viewing *Suppressed* Case Notes in EmployRI

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- You know you entered a case note, but you don't see it on the Case Note screen. Where did it go?
- Odds are, you “Suppressed” the case note.
- In order to see your Suppressed case notes, you have to change your Case Note screen filters.
- Any LWDA staff with access to view case notes, can see “Suppressed” case notes for any participant – *DLT recommends NOT suppressing case notes.*

# Viewing *Suppressed* Case Notes in EmployRI



- [-] Staff Profiles
  - [-] General Profile
    - [-] Summary
    - [-] Case Notes**
    - [-] Activities
    - [-] Documents (Staff)
  - [-] Case Management Profile
    - [-] Case Summary
    - [-] Programs
    - [-] Plan
    - [-] Assessments
  - [+] Report Profile

Summary

Case Notes

Activities

[Add New Case Note | Print Selected Case Notes ]

[+ Show Case Note Privileges](#)

**+ Show Filter Criteria**

On the “Case Notes” screen, click on the “+” next to “Show Filter Criteria”

Results View: **Summary** | [Detailed](#)  
 To sort on any column, click a column title.

App ID	Subject	Contact Date	Create Date	Staff User	LWIA	Office	Program	Source / ID	Action	select
314930	Reading	1/3/2018	1/3/2018	Ore, Gabriela	07	10	WIOA	Literacy Numeracy-314930	<a href="#">Edit/Delete</a>	<input type="checkbox"/>
314930	Developed ISS with Customer	8/1/2017	1/22/2018	Al-Khatib, Dena	07	10	WIOA	Enrollment-260907	<a href="#">Edit/Delete</a>	<input type="checkbox"/>

Page 1 of 1

Rows 100

**2 Records Found**

# Viewing *Suppressed* Case Notes in EmployRI



[- Hide Filter Criteria](#)

Select "All Case Notes"  
and then click "Filter"

**Suppressed:**  Unsuppressed Case Notes Only  All Case Notes

**Program:** None Selected

**LWIA/Region :** None Selected

**Office Location :** None Selected

**Partner Program :** None Selected

**Contact Type :** None Selected

**Source Type :** None Selected

**Keyword :**

**Dates :** Contact Date From  Today

To  Today

**My Notes Only:**  All  My notes

[ Filter | [Reset Filter](#) ]

# Viewing *Suppressed* Case Notes in EmployRI



Now all Case Notes, including Suppressed notes, will display.

Results View: **Summary** | [Detailed](#)

To sort on any column, click a column title.

App ID	Subject	Contact Date	Create Date	Staff User	LWIA	Office	Program	Source / ID	Action	select
314930	Don't Suppress Case Notes	2/8/2018	2/8/2018	Al-Khatib, Dena	07	10	WIOA	Case Note-NA	<a href="#">Edit/Delete</a>	<input type="checkbox"/>
314930	Reading	1/3/2018	1/3/2018	Ore, Gabriela	07	10	WIOA	Literacy Numeracy-314930	<a href="#">Edit/Delete</a>	<input type="checkbox"/>
314930	Developed ISS with Customer	8/1/2017	1/22/2018	Al-Khatib, Dena	07	10	WIOA	Enrollment-260907	<a href="#">Edit/Delete</a>	<input type="checkbox"/>

Page 1 of 1

Rows 100

3 Records Found

# Viewing *Suppressed* Case Notes in EmployRI

# EMPLOYRI

To “Un-suppress” a Case Note, go in to Edit the note & un-check the “Please suppress this Case Note” box.

## Case Note Summary

Case Note ID: 2856765  
Username: LLOEB9738  
User ID: 255435  
Name: Lisa Loeb

## Case Note Details

Please check to suppress this Case Note  
\* Contact Date: 02/08/2018  Today

## Case Note Summary

Case Note ID: 2856765  
Username: LLOEB9738  
User ID: 255435  
Name: Lisa Loeb

## Case Note Details

Please check to suppress this Case Note  
\* Contact Date: 02/08/2018  Today

# Viewing *Summarized* vs *Detailed* Case Notes

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# Viewing *Suppressed* Case Notes in EmployRI



Results View: [Summary](#) | **Detailed**  
 To sort data, click the details column header

Results View: **Summary** | [Detailed](#)  
 To sort on any column, click a column title.

Case Note ID:	2856771
Contact Date:	2/15/2018
Create Date:	2/15/2018
Program:	WIOA
App ID:	314988
Source:	Case Note
Source ID:	NA
LWIA/Region:	07
Office Location:	10
Staff User:	Al-Khatib, Dena
Partner Program:	
Subject:	WIOA Exit Updated (Reason)
Contact Type:	Form Insert
Note:	Staff updated the Exit (Reason) for WIOA Application #314988. Staff Username: 4532

App ID	Subject	Contact Date	Create Date	Staff User	LWIA	Office	Program	Source / ID	Action	select
314930	Reading	1/3/2018	1/3/2018	Ore, Gabriela	07	10	WIOA	Literacy Numeracy-314930	<a href="#">Edit/Delete</a>	<input type="checkbox"/>
314930	Developed ISS with Customer	8/1/2017	1/22/2018	Al-Khatib, Dena	07	10	WIOA	Enrollment-260907	<a href="#">Edit/Delete</a>	<input type="checkbox"/>

Page 1 of 1 Rows 100

**2 Records Found**

# Remember...

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IF IT'S NOT IN **EMPLOYRI** IT NEVER HAPPENED!



| Any  
**Questions?**



# Maintaining Effective Case Notes

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Office of Planning, Integrity, and Compliance

November 2022

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