COMMONWEALTH OF VIRGINIA
VIRGINIA COMMUNITY COLLEGE SYSTEM

WORKFORCE INVESTMENT ACT

VIRGINIA WORKFORCE LETTER (VWL) #13-07

TO: LOCAL WORKFORCE INVESTMENT BOARDS
FROM: WORKFORCE DEVELOPMENT SERVICES
SUBJECT: Virginia Workforce Connection (VaWC) System of Record And Entry of Case Notes in VaWC, Including Guidelines

DATE: June 18, 2014

EFFECTIVE DATE: July 1, 2014

References:

- Section 136 – Performance and Accountability Section – Chapter 6 – General Provisions Workforce Investment Act of 1998;

- Section 667.300 – 20 CFR Part 652 et. al., Workforce Investment Act: Final Rules:

- Training and Employment Guidance Letter No. 33-12; Subject: *Workforce Investment Act (WIA) Youth Program Guidance Program Year (PY) 2013*;

- Training and Employment Guidance letter No. 4-13; Subject: *Workforce Investment Act (WIA) Performance Reporting System*;

- Training and Employment Guidance Letter No. 17-05 and 17-05 Change 2; Subject: *Common Measures Policy for the Employment and Training Administration's (ETA) Performance Accountabili9ty and Related Performance Issues;*

- Virginia Workforce Letter (VWL) No. 10-02; *Common Measures*;

- Virginia Workforce Letter (VWL) No. 11-02; *WIA Participant Activity Code Definitions and Time/Use Limitations*;

- Virginia Workforce Letter (VWL) No. 11-05; *Credential Attainment and CRC Attainment under Common Measures;*

- Virginia Workforce Letter No. 11-13" *Collection and Reporting of Career Readiness Certificate Data for WIA Participants*;

Purpose:

This Virginia Workforce Letter has been developed to provide Local Workforce Investment Areas (LWIAs) and their service providers with guidance regarding the use of the Virginia Workforce Connection (VaWC). Additionally, this document provides guidance regarding the entry of Case Notes into VAWC under the VaWC Case Notes section.

The Virginia Workforce Connection (VaWC) is the "System of Record" for the Workforce Investment Act (WIA) programs in the Commonwealth of Virginia. This includes all participant data related to:

1. Application for the Workforce Investment Act (WIA)
2. Participation in WIA
3. WIA Activities and Services
4. Case Notes
5. Case Closure
6. Outcome (Exit) information
7. Follow-up

VaWC serves as the basis for the reporting to the U.S. Department of Labor through the Workforce Investment Act (WIA) Standardized Record Data (WIASRD). All information related to the WIASRD is captured in VaWC and therefore must be available in VaWC for inclusion in the WIASRD.

Effective July 1, 2014, all case notes must be entered in VaWC (Under Staff Profile section – General Profile – Case Note). Per VWL 08-07 *Timely Data Entry,* all case notes shall be entered into VaWC no later than 14 days from the participant contact date.

Case notes serve several purposes:

1. Record important details about services provided to customers;
2. Should also record the customer's participation and activities;
3. Serve as documentation of factors affecting eligibility or other important information;
4. Let the next reader know what is going on with the customer.

Case notes do not take the place of entering data in the appropriate sections of VaWC. For example, a case manager should not enter service information (service code, start and end dates) in a Case Note rather than in the Create Activity section. Performance-related information should be entered in the appropriate sections, such as Case Closure, Services, and/or Follow-up sections.

WIA Case Notes Guidelines

WIA customer files contain case notes that describe the plans, activities, actions and results related to their services. They are a planning tool, and a source of documentation and information that can be used by case managers, supervisors and monitors. WIA files can be chosen for review by a number of entities such as the Virginia Workforce Council, the U.S. Department of Labor, Virginia Community College System and others; therefore, accuracy and completeness in case notes are very important.

Case notes should tell the "who, what, where, when, and why" of the customer's needs and services. Case notes describe the actions taken and the reasons behind those actions, along with the expected results. Consider case notes as the means to tell a factual story of the customer. No opinions or comments of the case manager should be included. Anyone should be able to pick up the customer file and follow the story of what is happening with the customer.

Case notes should:

1. Be written in a timely manner; write case notes while the information is fresh in your mind.
2. Document activities such as eligibility determination, registration and the development of service plans. Case notes should give a history of the customer's situation, barriers, and services planned and/or received. They should describe how the customer will benefit from WIA services.
3. Describe assessments used and an analysis of the results of those assessments.
4. Document active services by describing the services, the planned end date, any active service extensions, and the expected results.
5. Tell who initiated the contact and where the contact took place. Show frequency of customer contact. If there has been a lack of regular customer contact, document why.
6. Follow some sequence. An issue mentioned in one case note should be followed-up with other case notes. It should be clear if a problem was resolved, if the customer received a service, if the problem has worsened, etc. If a problem remains, the case notes should identify a plan of action/resolution.
7. Be concise and highlight major events, crises, barriers, etc. Anything that is pertinent to the customer continuing the program (e.g. job search or training) or continuing to receive services should be listed.
8. For Supportive Services, case notes must document needs, resources explored and actions taken.
9. For Training Services, document the resources explored, expected results and the WIA planned contributions. Document attendance, progress and credentials earned.

10. For Job Search activities, document services, job referrals and other activities.
11. For Follow up services, describe what was done and the planned next steps. Document post-exit credentials and employment information.
12. Include any supporting documentation that is needed (e.g. a copy of a training certificate).
13. Document the rationale for any change in the customer's service plan (e.g. customer has moved, customer lost job, customer's work schedule has changed), how the decision was made (e.g. met with customer and customer's TANF case manager to develop new job search plan), and what the new service plan is.
14. Be kept in the case file -Case notes are maintained in the VaWC but staff should also print them regularly and keep an updated copy in the customer's file. Case files should be maintained in a locked file cabinet.
15. Case notes that refer to medical information and/or needed accommodations should be kept in a separate file that is stored in a locked file cabinet.