



Missouri Division of Workforce Development
DWD Issuance 09-2015, Change 1

Issued: December 23, 2015
Effective: December 23, 2015

Subject: Statewide Service Notes Policy

1. Purpose: This Issuance change updates the Statewide Service Note Policy, applicable to all workforce programs, for entries made in the Division of Workforce Development's (DWD) electronic case management system. It provides technical amendments to Attachment 1, "Statewide Electronic Case Management System Service Notes Policy," relating to acronym use and medical/disability note entries.

2. Background: Issues cited in federal and state compliance reviews make it necessary to update and clarify the Statewide Service Note Policy. It is essential to provide a consistent and clear standard for staff actions across each Local Workforce Development Area (LWDA) and all funding sources. It is imperative that all Missouri Job Center staff, Local Workforce Development Boards (LWDB) and their sub-contractor staff, as well as federal and state auditors, can recognize and discern each service and expenditure provided to, and made on behalf of, a workforce-system customer at the time of enrollment. Accurate, adequate, and timely recording of Service Notes also assists in providing quality customer service.

This policy guidance meets benchmarks outlined in Training and Employment Guidance Letter (TEGL) 17-05; the U.S. Department of Labor's (USDOL) Proposed Rules for implementing the Workforce Innovation and Opportunity Act of 2014 (WIOA); a continuing reliance on USDOL guidance for data-element validation (until superseded by WIOA-specific guidance); and DWD policy issuances.

Pursuant to 29 CFR 37.37(b)(2), demographic data regarding race/ethnicity, sex, age, and disability status (where known), is stored in a manner that ensures confidentiality and that data is used only for the purposes of recordkeeping and reporting.

This Change 1 revises acronym use for Employment Plan notations and adds specifications on medical/disability note entries. Specifically, on the guidance of the State WIOA Equal Opportunity Officer, neither the terms "pregnant" nor "pregnancy," nor reference to the condition, should appear in Service Notes.

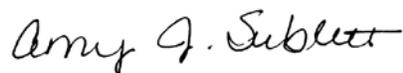
3. Substance: As detailed in the **ATTACHMENT**, this policy:

- Directs the creation of a mandatory Initial Service Note for any participant moved to full participation status, at the time of enrollment;
- Requires real-time data entry; that is, note creation on the date of consultation or service;
- Emphasizes brevity, but without omitting sufficient details for clarity, accuracy, and appropriateness of the service rendered;
- Provides examples of 16 different categories of note entries (out of a possible 23); and
- Gives guidance on appropriate notation, including cautions against including personal opinions, customer confidential details that do not belong in Service Notes, or inappropriate information about third parties.

4. Action: Effective immediately, all DWD Supervisors, Functional Leaders, LWDBs, and One-Stop Operators will distribute this policy to appropriate staff and implement its contents in local Missouri Job Center operating procedures.

5. Contact: Direct any questions or comments regarding this Issuance to Steve Reznicek, Quality Assurance Manager, at (573) 522-3015, or steve.reznicek@ded.mo.gov.
6. References: [TEGL 17-05](#), “Common Measures Policy for the Employment and Training Administration’s (ETA) Performance Accountability System and Related Performance Issues,” February 17, 2006.
- 20 CFR 680.200 (“Who may receive training services?”), 680.910 (“When may supportive services be provided to participants?”), and 681.200 (“Who is eligible for youth services?”) et. seq., as proposed (U.S. Department of Labor, Employment and Training Administration, “Workforce Innovation and Opportunity Act; Notice of Proposed Rulemaking,” [80 FR 20689–21150](#), April 16, 2015).
- ETA source documentation requirements, “WIA Validation Handbook, June” 2004, http://www.doleta.gov/performance/reporting/docs/WIA2_2/WIAValidationHandbook2_2.pdf
- [DWD Issuance 01-2008, Change 2](#), “Workforce Development System Confidentiality and Information Security Plan, Breach of Toolbox Data Confidentiality Update,” September 15, 2011.
- [DWD Issuance 01-2015](#), “Workforce Innovation and Opportunity Act (WIOA) Adult and Dislocated Worker Programs Eligibility and Documentation Technical Assistance Guidance Policy,” July 1, 2015.
- [DWD Issuance 02-2015](#), “Workforce Innovation and Opportunity Act (WIOA) Youth Program Eligibility and Documentation Technical Assistance Guidance Policy,” July 1, 2015.
- [State of Missouri Methods of Administration 2015](#).
7. Rescissions: This Issuance supersedes and replaces DWD Issuance 09-2015, Statewide Service Note Policy, dated October 22, 2015.
8. Attachments: (1) Statewide Electronic Case Management System Service Notes Policy.

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Amy Sublett
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STATEWIDE ELECTRONIC CASE MANAGEMENT SYSTEM SERVICE NOTES POLICY

Overview

Service Notes provide a fact-based description of a customer's interaction with the workforce system. Accurate, adequate, and timely recording of Service Notes is critical, as these notes help provide quality customer service, track funding costs, and assist in compliance monitoring.

Service Notes must be entered on the date of discussion with the customer or the date services are provided. This real-time data entry allows for continuous and seamless service delivery that aligns with the Next Generation Career Center framework.

Many of DWD's electronic case management system services (i.e., self-directed job search, updates to the Electronic Case Management System Assessment, etc.) are automatically recorded in the seeker history; therefore, it is not necessary to write a Service Note (beyond the Initial Service Note mandated above). However, if there is interaction with the customer and information is obtained beyond this, then a Service Note that is in line with this Policy must be recorded.

When writing Service Notes, keep in mind:

- Service Notes are part of the permanent record.
- Other staff providing services will read Service Notes.
- The customer (and, in the case of a youth, guardian) has the right to request copies of the Service Notes.

Purpose

Service Notes have a variety of purposes, including

- Sharing information with the Next Generation Career Center (NGCC) staff to facilitate seamless service delivery;
- Reminding the NGCC staff of information and ideas that have been discussed with the customer;
- Providing documentation to meet regulatory requirements, that will result in smoother local, state, and federal monitoring processes—and possibly fewer audit findings;
- Documenting information obtained from partners not using the Division of Workforce Development's (DWD) electronic case management system;

- Documenting services offered and the source of funding (e.g., Workforce Innovation and Opportunity Act [WIOA], Trade, or National Dislocated Worker Grants [NDWG]), including training costs, supportive services, and other appropriate expenditures;
- Documenting progress toward the Goals and Objectives/Services listed on the Employment Plan (EP);
- Adding, clarifying, or summarizing information in the electronic case management record;
- Helping locate customers for required follow-up contact; and
- Assisting DWD Central Office staff in:
 - Considering and processing change requests;
 - Investigating customer complaints; and
 - Reviewing records for compliance and quality of service.

Mandatory Initial Service Note

It is mandatory that any customer moved to full program participation status have an Initial Service Note entered at the time of enrollment. This Initial Service Note must include information regarding: summary of eligibility; plan of activities to be offered; how the plan will be implemented, and evaluation of services (follow-up information). In addition, the case record is also a focal point for accountability to funding, so Supportive Services information must be included. This mandatory enrollment Initial Service Note must be entered on ALL active program participants at the time of enrollment.

Example of mandatory Initial Service Note

“Customer came into the Job Center to be enrolled into the _____ program. The customer brought Photo ID verifying date of birth, Social Security card, Income Verification, and Proof of Family Size to the Job Center. After reviewing this documentation, it has been determined that the customer is eligible to participate in the _____ program. Appropriate activities have been opened and completed on this customer. Customer also will be placed in an activity to gain the necessary skills for work readiness. Customer is accepted at the ABC Company for Internship/Work Experience. Customer will receive 8/hours for Internship/Work Experience participation. Customer and representative from the ABC Company will be contacted no less than two weeks from now (before 9/25) for follow up and progress status.”

Service Note Recording Requirements

Service Notes must be:

- Concise and Stated in Simple, Clear Language. The Service Note should document services received by the customer in the Missouri Job Center. Avoid long narratives and unnecessary information. Service Notes should be detailed enough to communicate necessary information. Acronyms and abbreviations are not appropriate unless **all staff** reading the Service Notes can easily understand them. [*Example: Employment Plan (EP)*]
- Related to the Customer's Ability to Participate in Services. Information should pertain to the customer only. Information about spouses, children, other family members, friends, etc., should not be recorded.
- Fact-based, Objective, Accurate. Service Notes should contain only relevant facts. Staff and third-party assumptions should not be included.

Service Notes must not include:

- Conversations with Other Individuals. In general, it is not appropriate to discuss the customer with anyone other than the customer. An exception to this is a youth who requires verbal and/or written approval of a parent or guardian.
- Confidential Information. Staff should avoid receiving or obtaining confidential (i.e., medical, criminal, legal, domestic violence) documentation unless it is necessary for determining employment or training opportunities. If it is necessary to obtain confidential information, the Service Note should contain a generic explanation of the information; how it is related to employment and/or training; and identify the secure location of the information. (i.e., "*Customer wants to be a mechanic, but needs to pursue other employment or training opportunities. See confidential file.*")
- Medical- and Disability-related Information. Such information, including drug- or alcohol-related treatment or rehabilitation, as well as pregnancy, must be kept "confidential and separate" from the electronic case management record and from the customer's main paper or other confidential records. This applies to both paper and electronic records. Electronic records must be password-protected, and paper records must be in a secure, locked location. (*See DWD Issuance 01-2008, Change 2, "Workforce Development System Confidentiality and Information Security Plan, Breach of Toolbox: Data Confidentiality Update," Sept. 15, 2011.*)

Toolbox Service Notes Categories Examples

In the Service Note category examples below, only a small portion of the customer's involvement with the workforce system is stated. Due to real-time data-entry requirements, information about a customer's employment and/or training is recorded in several Service Notes.

Assessment

- Sharon completed WorkKeys and her scores are recorded. She worked as mail clerk, which is a declining occupation, based on local MERIC LMI data. Her job search over the last four months did not result in a salary equal to prior wages. She has few marketable skills in the current or future job markets. She does not know if she wants to change careers, but is looking at training programs based on local LMI data. Her follow-up appointment is 12/27 at 9:30 am with the Skills Team to discuss options.
- Bill wants to obtain a Class A CDL license. The O*NET Interest Profiler shows training is appropriate, as he has an aptitude for the occupation and can work well independently. Local MERIC data lists commercial truck driving as an in-demand occupation. He will attend the training 3/28–5/3 with NDWG funds. We reviewed his need. The transportation reimbursement will be paid from NDWG, because his budget does not allow for this expense, and there are no other resources to cover the cost.

Case Review

- Jim attended Truck Driving School from 1/31–3/4 and obtained a Class-A CDL license. He is currently reviewing job opportunities within a 10-mile radius.
- Jill completed her Radiology Technician training. She will accept a job with ABC Medical Facility. Employment has been verified, beginning 11/20, and the hourly wage is \$17.50. Jill has been advised to contact the Job Center if additional services are needed.

Case Staffing

Met with Tina's supervisors at LYZ State Park. Then I met with Tina. Tina better understands her work expectations, and she will speak to her appropriate supervisors regarding any future problems. I will contact Tina and the worksite next week (6/13–6/17) for an update.

Customer Contact

- Don called today requesting assistance to attend a Dental Assistant training program through GZ Community College. He will come in on 10/28 at 9:30 am.
- Jim was laid off from DYY Manufacturing. I explained he needs to come in and go through the NGCC process prior to determining his next steps at the Job Center.

Customer Info Update

- Shelly called today to change her address. Record was updated.
- Ryan came in today to change his phone number. Record was updated.

Employment Plan (EP)/Participation

- Rachel and I developed her EP. She previously worked as an administrative office assistant for less than a year. She wants to be employed in this field again in a small to mid-size business. She will attend workshops on résumé writing and career networking.
- Dennis and I reviewed his EP. He wants to become a welder, and he has finished training. There are no immediate openings without experience. I will contact LB Railroad Services for an OJT placement.
- Jill and I reviewed her EP. She previously worked in manufacturing. She will work toward a NCRC to obtain employment at GGN Manufacturing.

Job Development

John wants a position as a car salesperson and has previous sales experience. I spoke with John Bosco, owner of Bosco Motors, regarding a position and John's work skills and attributes. John will interview with Mr. Bosco on 3/2 at 2:30 pm.

Record Correction

Staff failed to enter Ben as successfully completed OJT 10/14. The following corrections were made:

- 1) Changed the end date from 10/22 to 10/14.
- 2) Closed the 302 Service in electronic case management system.

Problem Solving

Janice is making progress as a Dental Assistant at GLB Community College, with a satisfactory rating from supervisors. She has three absences and two late arrivals during the current semester due to transportation. This issue has been resolved since she purchased a reliable vehicle, and she has been receiving OJT transportation reimbursement for the days she attends class.

Progress Evaluation

Spoke with Adam at DCY College. He is doing well in school, but finds Anatomy and Physiology difficult. He has an appointment to meet with a tutor tomorrow, 03/07. We will meet again on 03/15 at 2:00 pm.

Referral

Steve completed 11th grade and has not obtained a high-school equivalency. He was referred to Job Center AEL classes for skills remediation and preparation for the HiSET.

Service Closure

Jim graduated from ND Institute. I closed the Occupational Skills Service. Supportive Service also was closed, as he no longer needs transportation assistance.

Skills Review

Pat has a certification in Microsoft Office (Word, Outlook, PowerPoint, Excel, and Access). She keyboards 45 WPM. She is interested in employment as a customer-care representative, office-support assistant, or data-entry specialist.

Supportive Services

Sue will begin classes at LG College next week. She stated she needs transportation reimbursement. We reviewed her need and determined there are no other community resources, and her budget does not allow for the expenses. She will receive \$0.56 per mile TAA reimbursement for travel to and from classes.

Unemployment Insurance (UI) Required Job Services (RJS) Reporting

Randy came to the Job Center to complete the RJS requirement. He completed the initial assessment during his last visit. He was referred to AEL classes.

Youth Follow-Up

Kyle graduated from high school on 06/16 and provided us with a copy of his diploma. He plans to enroll in SLT University to become a Kindergarten teacher. He will receive follow-up services for a minimum of 12 months. He will continue to receive transportation reimbursement of \$0.32 per mile from local WIOA Youth funds, based on previous determination of need.

Determining Appropriate Service Notes

Example #1

“Tina called me and she bought a truck and is getting it tagged and etc today. She picked up an application for assistance for daycare, but got home and realized it was the wrong thing, so she will stop by and pick up a new one today. Also, she went to the college and tried to get her college schedule, but couldn’t get it because it was not time to register. Also, she is going to be doing some job searching now that she has a vehicle and she has a doctor’s appt today for her son, so she can’t make it, but she is going to come in on the 12th at 10 am”

Service Note Review:

- Contains too many irrelevant details.
- No medical or doctor’s appointment should be discussed in Service Notes. The doctor appointment for her son is not appropriate or relevant.
- Does not contain specific dates.

Appropriate Service Note:

“Tina has obtained transportation. She will get a class schedule on 12/22. She is still trying to obtain childcare and has applied for federal assistance. Her next appointment is 01/12 at 10:00 am. We will discuss job search at that time.”

Example #2

“Called and talked with Deanna’s mom and she said that Deanna is still in rehab. She put herself in for drug treatment, per her mom she was on meth and marijuana and oxycontin. She said she will be released the 21st. Since she admitted herself, her mother has had the children (2) and she hopes to keep the children after she comes home.”

Service Note Review:

- Should not be discussing the recipient’s situation with her mother, unless this information is volunteered by the relative. If it is volunteered, only include information on the customer’s ability to participate in the program.
- Any hearsay speculation from her mother should not be included.
- Nothing in regard to drug treatment, rehabilitation, substance abuse, or child custody should be in Service Notes.

Appropriate Service Note:

“Called Deanna’s phone number listed and her mother answered. Her mother indicated she is unable to participate in the program at this time.”

Example #3

“Telephone call to Nina. She states that they are working on car repair. She states that her boyfriend lost his appeal on UI. He has not been able to find a job. She states that she will go see about getting vehicle licensed, however, she was wondering if there could be help with purchasing a tire.”

Service Note Review:

Information about other individuals should not be listed.

Appropriate Service Note:

“Called Nina, and she is working on getting transportation. She wants help paying for a tire to attend classes. Reviewed her need and determined there are no other community resources and her budget does not allow for the expenses. I will process this request.”

Example #4

“We discussed Bonnie’s career-path assessment, and she scored well in the areas of Scientific and Humanitarian. She is interested in the nursing field and would like to obtain an undergraduate degree in nursing, but will not return to school until this fall. She will complete a job search at this time to find a job during the summer.”

Service Note Review:

- Appropriate.
- Contains all necessary information.
- Detailed enough for anyone to understand easily.

Example #5

“Jenny called our office to report that she suffered a serious injury in a fall at work. She has multiple fractures in her legs and feet and is confined to a wheelchair. She was due to have surgery at LT Hospital several weeks ago, but it had to be postponed until today because the doctors needed to regulate her vital signs before adding additional stress to her system.”

Service Note Review:

- Inappropriately contains confidential medical details. (See DWD Issuance 01-2008, Change 2, “Workforce Development System Confidentiality and Information Security Plan, Breach of Toolbox Data Confidentiality Update,” Sept. 15, 2011.)

Appropriate Service Note:

“Jenny will not complete this semester and will provide documentation. See confidential information record.”

Example #6

“I am disappointed that Lisa has failed to follow-up with our office. We are located near to her home, she qualifies for federally funded childcare, and it would not be difficult to assist her in finding employment, especially since she is training to become a nurse. There are many entry-level positions available in the healthcare field.”

Service Note Review:

Service Notes should not be subjective or indicate the service manager’s personal opinion.

Appropriate Service Note:

“Lisa did not come to her appointment today to discuss employment and childcare.”

Example #7

“Greg is eligible for transportation reimbursement to assist with training. It is very important to the WIOA program to provide Greg with the highest possible quality of service and benefits while also meeting the monitoring requirements of our program.”

Service Note Review:

- The statement regarding the WIOA program is inappropriate since this statement does not apply only to this specific customer.
- The justification for Supportive Services must be included in the Service Note.
- The training date and funding source for the eligibility were not identified.

Appropriate Service Note:

“Greg is going to begin training at GG Tech (08/23) and states he needs transportation reimbursement. Reviewed his need and determined there are no other community resources and his budget does not allow for the expenses. He will receive TAA reimbursement for transportation expenses if he brings in the required paperwork.”

Example #8

“Spoke with Charlene by phone. She will be in either today or Monday, depending on an issue with her car. She is starting school on Monday. Nathan is currently incarcerated in Jefferson County due to failure to appear for a court date. She would be interested in the evening computer classes if she had childcare. If Nathan is able to return to the home next week, she might be able to take an evening class.”

Service Note Review:

- Information about other individuals should not be listed in the Service Notes.
- No specific dates used.

Appropriate Service Note:

“Charlene stated she will come to the office today or Monday (10/16), depending on transportation. She will begin school on Monday (10/23). I explained the paperwork she needs to bring with her. She may also take evening classes if she can get childcare.”

Example #9

“Tom is attending BB Tech and is being considered for a paid internship. His girlfriend is suffering from an injury that is covered by workers’ comp and she will be having back surgery, too. She also gave birth on 12/23, so she has not been referred for work yet.”

Service Note Review:

- Information about other individuals should not be listed in the Service Notes.
- No medical information, including pregnancy, should be discussed in Service Notes.

Appropriate Service Note:

“Tom is attending BB Tech and is being considered for a paid internship.”