

North Central Workforce Development Area

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LOCAL DIRECTIVE

Directive #: 17-160 REV 4 Date: February 7, 2022

TO: SkillSource Staff and Service Providers
FROM: Lisa Romine, Executive Director
SUBJECT: Data / Service Entry Procedures & Case Notes
SUPERCEDES: Directive # 17-160 Rev 3

Summary of Revisions:

- 1) Incorporated guidance from, and references to, WIN 0023 Change 1 concerning medical and disability-related participant information use and safeguarding.

This directive is meant to provide guidance and standardized expectations for real-time data and service entry for WIOA Title I activities, in accordance with [TEGL 10-16](#) and [WIN 0082 Rev 1](#). The expectation is that participant information is accurately, completely, and efficiently recorded.

REAL TIME DATA ENTRY

- Time limits for entering Basic and Individualized, Training, and Support services: Immediately, no later than 14 calendar days after service delivery.
- Staff should update and/or edit Activity End Date, Notes, Actual Outcomes, and other fields in Basic or ITS services as appropriate.
- Changes/corrections to certain data elements may need to be performed by Department Heads (Center Managers, Managing Director, and Performance Analyst) per instructions outlined in [WIN 0082 Rev 1](#). Center Managers will ensure compliance with data entry timeline requirements.

SERVICE ENTRY ACCURACY

- When a service is provided, identify the appropriate qualifying service (located the in [WorkSource Services Catalog](#)). The service provided must correspond to the definition provided in the Services Catalog.
- The first service touchpoint that triggers enrollment must be accompanied by a program enrollment touchpoint on the same date.
- Follow-up services, self-service, and providing workforce info do not trigger or extend participation or factor into performance.
- Enter services on the Basic Services Touchpoint, the ITS Touchpoint, or the Follow-Up Touchpoint.
- Endeavor to enter all case notes 'inside' the corresponding service touchpoint as opposed to entering a case note touchpoint AND a separate service touchpoint.

- Record all services received by participant that contribute to IEP goals, including training paid for by non-WIOA funds. Specify fund source used for the activity.
- Emails or phone messages left for participants do not constitute services in and of themselves.
- Utilize the last date of service as the program completion date.
- A participant is system exited when 90 days have passed with no qualifying service.
- Application procedure requests Participant disclose their SSN. However, services may not be withheld if the participant chooses not to. Refer to Attachment A of WIN 0081 Change 3 for procedures to create a participant record in ETO for an individual who does not disclose their SSN. Refusal or inability to disclose the SSN should be mentioned in the eligibility application case note.
- When entering WIOA Eligibility Application, trainers should impersonate the participant in WorkSourceWA (using the “Access Seeker/Participant Account” button on the ETO dashboard) to verify that the participant has a job match account. If not, create the account and enter the participant’s data as necessary.

CASE NOTES

Initial Note: First note should always indicate the date of application. Tell the applicant’s story - briefly.

Vitals: Name, age, family status, employment history (type of work), education status.

Interest: What have they told you they want?

Assessment: What does their assessment tell you? (Skill levels, interests/ barriers)

Plan: What is the plan? Brief description of the plan developed with the customer (ie: will attend basic skills brush up while attending computer literacy, will explore a work experience and possibly OJT for occupational skills)

Eligibility: State clearly what program they are eligible for and will be enrolled in (ie: Adult, DW, Youth, other 10%, etc.). If employed at application, state whether they are underemployed (not self-sufficient). For Adults, indicate Priority Level 1-5.

Ongoing Notes:

Start each note with the appropriate date of service, as ETO records display the date of note entry, not the date of service.)

- Make monthly contacts at minimum, more frequent if necessary.
- When assigning a training activity, justify the need for the training. Describe why this training is necessary in terms of skills needed in comparison to their work history and experience. For ITA, describe all other program resources the participant has explored for the training.
- All status changes (new activities/services) entered into ETO should be reflected in the case note with a brief explanation/rationale and corresponding date.
- **Ongoing or progress case notes for duration services such as (OJT, ITA, WEX, etc) are to be added to the case note in the original service touchpoint. Begin each entry with the date of the update or site visit keeping the most recent note at the top.**
- When documenting counseling/coaching sessions, describe the agreed upon expectations in a measurable way. (ie: Brad has been arriving late to work periodically for the past two weeks. Brad has committed to leaving home 10 minutes earlier to make sure he gets to work by 8:00 every morning.) This will help you to assist them with accountability.
- Avoid duplicating information that can simply be inserted in the file (ie: listing all classes and resulting grades when the grade report from the school is inserted)
- Recap progress discussions with participants and supervisors/instructors. On site visits must be made monthly, at minimum, for WEX, INT, OJT.
- As a general rule: be descriptive yet concise.
- Avoid the use of uncommon or local acronyms and jargon in case notes (i.e. “Adult Priority 2” instead of “LAP2”).
- Medical and disability-related information must be kept in a separate file in a secure location apart from the participant file. Access to this information must be limited to appropriate training staff.

Case notes in the ETO record may be written to omit specific medical or disability-related information and instead document effects or limitations imposed on the participant (i.e. instead of “participant has a herniated disk”, say “participant cannot lift more than 20 pounds or stand for longer than one hour”). See [WIN 0023 Change 1](#) for specific guidance.