



<p><b>Workforce Investment Act (WIA) Operating Procedure</b></p> <p><b>#13-02</b></p>
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**Subject:** Case Notes

**Date of Issuance:** December 3, 2013

**General Provision:**

All WIA participant files (including files maintained in VAWC) must contain up-to-date case notes that document and explain eligibility and why specific services and activities are provided to a participant. Case notes should include an assessment of the need for services, a plan outlining the services to be provided, progress made against the plan, any issues or concerns that develop during the participant's enrollment and follow up, changes made to the service plan based on any such issues and the intended and actual outcomes of the services delivered.

Case notes should be specific, reflect observations and facts, and not contain derogatory comments, opinions or judgments. Case notes are the primary source to justify WIA enrollment and services provided. Any case notes containing confidential information, such as medical information or other items deemed by the case manager to be of a personally sensitive nature, must be kept in a separate file and in a secure location apart from the participant's regular program file. *(Notion to be made in main file that such a file exists).*

**Specific Requirements:**

*Case notes must:*

1. Be written monthly, at a minimum, while the case manager can recall detailed information. Dates of entry must be recorded and the case manager shall initial all written notes.
2. Be kept in a participant case file. If case notes are initiated in VAWC, print the notes regularly and keep an updated copy in the participant's file. Written case files must be maintained in a secured location