



SERVICE PLAN AND CASE NOTES POLICY

Policy Number: 2080

Effective Date: May 1, 2017

A. BACKGROUND

A service plan clarifies the activities and resources that a job seeker will need to achieve his/her employment related goals. A service plan developed for a job seeker receiving services funded by WIOA Adult and/or Dislocated Worker funds is called an Individualized Employment Plan (IEP) and a service plan developed for a job seeker receiving services funded by WIOA Youth funds is called an Individual Services Strategy (ISS).

Case notes are the documentation of services received and progress made by the job seeker to achieve the goals in the service plan.

Service plans and case notes provide a tool for Workforce Snohomish subrecipients, partners and others with access to the Efforts to Outcomes (ETO) client management system to track job seeker progress and communicate and coordinate service strategies.

B. POLICY

A service plan must be developed for each fully enrolled job seeker, based on informal and formal assessments of skills, aptitudes work history, needs/barriers and any other information pertinent to the successful achievement of the job seeker's employment goals. The service plan should also document the use of Personal Training Accounts to cover the costs related to services.

Subrecipients and partners must record electronic case notes in ETO documenting activities, services, referrals, and progress toward meeting employment related goals for registered and enrolled job seekers. Case notes must indicate that subrecipients and partners have checked whether an enrolled participant is eligible for priority of services, and if so note that eligibility. Case notes must document efforts to use other resources to support job seekers, before WIOA Title I, as well as efforts to mitigate any barriers to employment. When a job seeker's service plan indicates that WIOA resources will be expended on behalf of the job seeker, case notes must also document that resources

from other sources were not available for these costs. For job seeker's receiving occupational skills training services case notes must document how training leads to self-sufficiency. Case notes should tell the "who, what, where, when, and why" of the job seeker's goals, needs and services.

The subrecipient lead must review service plans and case notes for completeness, accuracy, and internal consistency within 30 days of a job seeker's enrollment. The subrecipient lead must ensure that case notes in each job seeker's file are current at all times.

Any information that describes a job seeker's medical condition or disability must be maintained in a separate file consistent with the Methods of Administration and General Program Management Policies and Procedures

C. DEFINITIONS:

- **Service Plan** – A written plan developed for enrolled job seekers that spells out the planned activities a job seeker will pursue individual and/or with the assistance of WorkSource staff and partners to achieve his or her goals. The service plan acts as a communication with the job seeker and among those providing services and resources to the job seeker.
- **Case notes** - statements provided by subrecipients, partners and others with access to the Efforts to Outcomes (ETO) electronic client management system to identify, at a minimum, a job seeker's goals, status, and any other pertinent data, the date on which the information was provided, and the person who provided and recorded the information.

References:

- [WorkSource System Policy 1019 Rev2: Eligibility Guidelines and Documentation Requirements](#)
- Methods of Administration and General Program Management Policies and Procedures
- [Service Plan Procedure](#)
- [Individual Employment Plan Form](#)
- [Individual Service Strategy Form](#)
- [Case Notes Procedure](#)

Supersedes:

- Workforce Snohomish Policy 9-14 Individual Employment Plan
- Workforce Snohomish Policy 9-20 WIA Case Note Guidelines