

34. Documentation

34.1 Purpose of Thorough Documentation

The case narrative is an on-line written record, which fully documents an individual's participation in CalWORKs Employment Services (CWES) from the point of enrollment to termination from the program. The documentation should include clear details that tell the story of the participation of the client and case actions taken.

This would include:

- Details as to why child care payments were made at an amount other than requested.
- Details on mileage payments, including amounts subtracted that was advanced to client in the previous month.
- Transportation payments that include payments for children.
- Number of hours of client participation for the month when the “Attendance and Child Care Billing” (SCD 1755) is received.
- Documentation how pay check stub hours were processed to verify actual or projected hours of paid employment activity.
- Tracking the young child exemptions:(0-3 months; 0-6 months and 0-23 months once in a life-time exemption.

These are important details that not only assist to tell the story but also provides a source location for other CWES and Agency staff to identify information for “Work Participation Rate” (WPR) information, fair hearings and incoming “Officer of the Day” (OD) phone calls. This also enables CWES staff to provide appropriate and timely customer service.

Since the primary intent is to document relevant information in an objective and concise manner, Case Comments does not lend itself to individualistic creative writing styles. For our purposes, the narrative must focus on fact rather than on feelings or opinions. The CWES worker may state professional judgment as long as the judgment can be adequately substantiated.

34.2 Maintain Case Comments Window

The CalWIN system automatically enters comments for automated changes and actions. However, it does not document the basis for the participation determinations.

The **Maintain Case Comments** window in CalWIN is an electronic version of the “Contact-Action Summary.” It is meant to be an ongoing record of client contact and a summary of worker determinations and reasons for actions. Information NOT recorded elsewhere in the case record must be documented on the **Maintain Case Comments** window.

Below is a list of available **Types** in the **Maintain Case Comments** window, a description to clarify use, and the user group which should be entering the comments. Please refer to [CalWIN Announcement 190](#) for more details.

Type	Correct Usage	User Group
Assessment	Used based on assessment activity.	EC
Assign Fam Stablztn EC Specls	Used by designated Family Services (FS) Support to document housing referral assignments to FS EC Specialist.	ES FS Clerical Support
Assigned SW / DV Advocate	For CalWORKs Social Work Unit CST to document the assigned SW information.	ES FS Clerical Support
Attendance Report Processing	For processing monthly attendance when the activity is paid employment and hours inputted on the Attendance window were calculated due to SCD 1755 not required. Indicate how the employment hours were calculated.	EC
Authorized Representative	To document all contacts with authorized representatives.	All staff
Cal Learn	Document all Cal-Learn activities.	EC
CalWORKs Common Cases	For documenting activities related to CalWORKs/DFCS Common Cases.	All Staff
CalWORKs Home Visiting	For documenting referrals made to service provider, or to document if client declined referral.	EC, EW
Case Transfers	To monitor activities related to E-case transfers.	ES Clerical
Case Update	All actions taken on a case are to be documented as this Type . An action is equal to any worker entry made into CalWIN or MEDS unless otherwise noted in this chart. The action may be initiated by client contact or by worker maintenance activities.	All Staff
Client Contact	Client contact has occurred for informational purposes only and no entries/changes were made to CalWIN or MEDS. Information given by or to client is documented here.	All Staff
Client's Cell Phone	For documenting client's current cell phone number.	EC, ES Clerical

Type	Correct Usage	User Group
Client's Email	For documenting client's current email address.	EC, ES Clerical
EC Works EFU	To document the employment follow up at 90 days from subsidized placement and at the point of the unsubsidized employment 90 day period.	Specialized Retention EC II
Employment Connection	Used for activities related to employment connection.	ECC Staff
Family Services Case Update	Used by FS EC Specialist to document FS case updates and action plans.	Family Services EC Specialist and assigned EC
Fraud/FRED Referral	When a case is referred to the Special Investigations Unit (SIU) for CWES Fraud, all supporting documentation for the referral is to be entered.	EW, EWS, EC
Non-compliance	Record actions related to the non-compliance process.	EC
Orientation	Used based on orientation activity.	EC
Sanction/Penalty	All sanction and penalty actions must be documented.	All Staff
Social Worker	For documenting the findings of the GA or CAPI client pending SSI; or for documenting cases of the CalWORKs Social Worker.	GA SSI Advocacy SW, ES SW
Special Accom/Sensitive Info	For documenting the request for special accommodations, and the accommodation provided. Also used for documenting the sensitive information about the case.	All Staff
Supervisor Review & Authorization	Staff Development for training purposes and/or when reviewing any action requiring supervisory approval.	Trainers and all Supervisors
Vendor Pay	For documenting all Vendor Payment related case comments.	All Staff
WTW 24-Month Time Clock	To document time clock history reviews, issuances of time clock related notices, and transitioning clients to post 24-month WTW plan.	EC
WTW 30 Review	Used to update the WPR status of a client for the WPR review month.	EC RRT
12 Month Voc ED Clock	For tracking Vocational Education clock.	EC
Young Child WTW Exemption	To track the manual 0-23 month one-time only optional child exemption, the 6-month exemption and the subsequent 3-month manual exemption.	EC, EW

34.3 Required Documentation

All CWES staff are required to enter the following information in the **Maintain Case Comments** window:

- The date newly assigned cases are received and reviewed indicating any changes or relevant information.
- All contacts, direct or indirect; face to face interviews; describe the issues discussed and any action taken as a result of the contact.
- All telephone calls and the essence of each conversation.
- All shelf stock/intranet correspondence sent to or received from the participant, service provider, or any other individual or agency involved with the case.
- All scheduled and rescheduled appointments and purpose of the appointment.
- Point of discovery and description of the participation problem.
- The date the Notice of Participation Problem, Cause Determination and Compliance Appointment is sent along with other required forms. Indicate interview date.
- All cause determination results.
 - All informal and formal compliance efforts.
 - All dates of termination of compliance period and sanctions.
 - The date financial sanction is requested.
 - The date and reason for granting Good Cause and description of documentation on file to support the authorization of Good Cause. Indicate whether client was placed in Good Cause status on-line.
- The date Welfare to Work activity agreements signed.
- Referrals and referral results to service providers/activities.
- All fiscal and support services transactions including transportation and child care payments, overpayments, adjustments, cancel and/or reissue warrants.
- Receipt of attendance and progress reports. Indicate number of hours of participation for that month. Record non-receipt of attendance or progress reports. Describe follow-up action taken.
- Upon closing case or transferring to another worker/unit, use the preprinted "Contact Action Summary Transfer" (SCD 163T) and/or "Contact Action Summary Closed Case" (SCD 163C). In case narrative prepare a brief summary narrative indicating the reason for closing or transferring the case. Present the facts in chronological order indicating the dates of occurrence and indicate all on-line entries made.

34.4 General Guidelines

The purpose of the Case Narrative Writing Guidelines is to provide Employment Services Workers with basic rules and guidelines for case narrative writing and to identify the required case narrative entries.

- Keep in mind who your reading audience will be:
 - Employment Program Supervisors/Managers
 - Employment Counselors
 - Auditors/Monitors/Q.C. Reviewers
 - Appeals/Fair Hearing Officer/Administrative Law Judge
 - Client
 - Eligibility Staff
 - Social Workers
 - Community Partners
 - Other staff having access to CalWIN
 - Applicants and Recipients.



Reminder:

Clients have the right to review entire case record, including documentation.

- Site facts and relevant information only. Indicate how the information was obtained including how and when.
- Clarity is essential. Organize and present information in a manner that makes sense and is easily understood by the reader including how and when.
- Keep the narrative free of subjective statements.
- Make sure narrative is accurate and that it does not conflict with other narrative entries or other information in case. Explain if conflicting entries are entered.
- When referring to a staff member or service provider, use the person's full name/title, worker number, phone number/extension and include the name of the person's agency.
- Record the date of the entry in the left-hand margin. Enter your name and worker number at the end of the entry. If you are the O.D. (Officer of the day), indicate this in the entry after your worker number.
- Document all case activity immediately after it occurs.

34.5 Standard Abbreviation Guide

Abbreviation	Definition
ABE	Adult Basic Education
Adult Ed	Adult Education
AC	Assessment Counselor
amt.	amount
anc. expense	ancillary expense
APP	Alternative Payment Program
appt.	appointment
AU	Assistance Unit
asmt.	assessment
CAPS	CalWIN Application Program Support
cause det.	cause determination
CBO	Community Based Organization
c/c	child care
c/conference	case conference
CL	Cal Learn
CM	Case Manager
CIU	Central Intake Unit
c/r	case review
Comm. Coll. Con.	Community College Consortium
clt.	client
CS	Community Service
CTS	Countdown to Success
dept.	department
DITF	Data Integrity Task Force
disc.	discontinued
doc.	document
dns.	did not show
DOB	date of birth
DOR	Department of Rehabilitation

Abbreviation	Definition
EC	Employment Counselor
ECC	Employment Connection Center
EDD	Employment Development Department
eff.	effective
EFU	employment follow-up
emp. verif.	employment verification
est.	estimate
EW	Eligibility Worker
ESL	English as a Second Language
fin. aid	financial aid
fis.	fiscal
GED	General Education Diploma
GRP	Guaranteed Ride Program
HA	Health Alliance (previous CHAT)
ICT	Inter-County Transfer
inelig.	ineligible
ID	identify or identification
IDM	Integrated Document Management
JET	Job Enhancement Tools
JS	Job Search
ltr.	letter
LD	Learning Disability
mand.	mandatory
NONC	Noncompliance
OD	Officer of the Day
o/a	off aid
OJT	On the Job Training
OL	online
o/p	overpayment
ORE	orientation
org.	organization
o/v	office visit

Abbreviation	Definition
PAS	Post Aid Services
PT JS	Part-Time Job Search
prog. report	progress report
post asmt.	post assessment
pgrm.	program
pmt.	payment
R&R	rights and responsibilities
ref.	referral
rem. ed.	remedial education
re:	regarding
4C's	Coordinated Child Development Council
rec'd.	received
retd.	returned
SJS	Supervised Job Search
SP	service provider
SIP	Self Initiated Program
SSN	Social Security Number
s/s	support services
supv.	supervisor
SW	Social Worker
TBA	To Be Arranged
t/c	telephone call
transp.	transportation
trsf.	transfer
TSE	Transitional Subsidized Employment
ES/VESL	Employment Services with Vocational English as a Second Language
voc. trng.	vocational training
vol.	volunteer
w/	with
w-list	waiting list
WEX	work experience

34.6 Examples Of Types Of Case Narrative Entries

During documentation, CWES staff are required to follow the format below. Using this type of writing format will make it easier for anyone reviewing the case to view and read Case Comments without using the scroll bar to identify when it was written and by whom.

Required format:

- Enter the **date** that the narrative is being entered.
- Write the **body of the narrative** with actions and information regarding the client and actions being taken.
- Close with **worker name** and **worker number**.

34.6.1 Newly Assigned Cases

Record date newly assigned cases are received and reviewed:



Example:

2/4/14 - Received case (SCD 163T) today and reviewed. Client is participating in GED and Vocational Training at Independence Adult Ed (IAE). First Day Attendance updated, 12/13 SCD 1755 was processed, c/c set up, transp. issued for 2/14 and WTW2 plan in IDM. *Name/Worker Number*



Example:

10/29/13 - Received SCD 2272 Individual Intake Request form via email. Case assigned to me for English ORE. Client is a single mother with a 3 year old child. Client is working a FTE at NYC Food & Beverages LLC. SCD 549A in IDM. I called client at (408) 555-5555 and left a voicemail message for client to call me back to schedule a 1-on-1 Orientation Appointment. *Name/Worker Number*

34.6.2 Office Visits

Record all office visits and result of each visit:

**Example:**

2/5/14- Client dropped in to submit Spring Quarter schedule from DeAnza College and verification of TBA hours. Case review of Ed Plan indicates client has enrolled in all required courses. No c/c needed, child over 13. Transp. has been approved and authorized, NOA issued to client. All documents have been sent to IDM. *Name/Worker Number*

34.6.3 Telephone Calls

Record all telephone calls and essence of each conversation:

**Example:**

1/22/14 - Per T/C from *Service Provider Name*, clt. has not attended GED class for 3 days. Reason for absence is not known. She will email SCD1766 today and will keep the case open until the end of this week. *Name/Worker Number*

Record all telephone calls and essence of each conversation. Record all scheduled and rescheduled appointments and purpose of the appointment:

**Example:**

1/27/14 - T/C to clt. re: his missed appt. for cause determination on 1/24/14. No answer and left a voicemail (xxx-xxxx) reminding him of his compliance due date (2/4/14) and to have him call me to reschedule appt. Mailed SCD1779 to clt. Copy sent to IDM. *Name/Worker Number*

**Example:**

1/28/14 - T/C from clt. to reschedule cause determination appt. She explained she missed original appt. on 1/24/14 because her child was sick. Rescheduled appt. for 2/3/14 at 10:30 AM. *Name/Worker Number*

34.6.4 Written Correspondences

Record all correspondence sent to or received from the client, service provider, or any other individual or agency involved with the case:

**Example:**

2/11/14 - SCD1755 for 01/2014 received and processed. Attendance hours entered for Full-Time Employment. Client participated 160 hours. Child care paid for 01/2014, \$455.00. Transp. authorized for 03/2014. Copy sent to IDM. *Name/Worker Number*

**Example:**

4/04/08 - Email received from Fremont Adult Ed. Clt. has completed two more GED tests and is expected to complete the last GED test by 6/30/08. *Name/Worker Number*

34.6.5 Activity Agreement/ Welfare-To-Work (WTW) Plan

Record the date and type of activity agreement signed and/or the date WTW Plan is signed:

**Example:**

2/11/14 - Client completed ORE/APR. She was referred to In-House Assessment concurrent with an activity. WTW2 signed and a copy was given to the client. First assessment appointment is 2/24/14 at 10:00 AM. A return appointment was issued with a due date of 2/21/14 to return child care paperwork. Transp. approved, Feb. issued and NOA batched. Docs sent to IDM. *Name/Worker Number*

34.6.6 Orientation and Appraisal

Record the orientation and appraisal intake information. This should be done the same day the client completes the orientation and appraisal interview.

**Example:**

2/4/14 - Orientation & Appraisal completed on 2/3/14. Client is in a 1-Parent HH with 2 children: ages 6 months and 5 years. Rights & Responsibilities thoroughly explained, client stated it was understood. LD waived. No HA referral requested. Client has 34 months remaining on TOA. Client has work history within the last two years and has a GED certificate. WTW 2 Plan signed for JC from 2/18/14 to 4/11/14. Client understands the requirement of participating 20 hrs per week. Childcare and transportation requested. 4C's referral given to client & 4C's staff. SCD 1783 issued for return appt. to submit c/c paperwork on 2/12/14. SCD 1755 reviewed and 6 additional copies provided. APR education entered in CalWIN skills tab. Intake documents submitted to IDM. *Name/Worker Number*

34.6.7 Noncompliance Process

Record the date the Notice of a Participation Problem (NA840) and other related forms is sent and date of scheduled Cause Determination Interview.



Example:

1/27/14 - Non-compliance initiated because client did not show to first day of Supervised Job Search on 01/21/14. Cause determination appointment set for 2/07/14 at 9:00 AM. NA840, WTW27 and SCD188 mailed. Cause determination 20-day period ends 2/16/14. Supportive services discontinued 1/31/14. NOA mailed. Copies sent to IDM. *Name/Worker Number*

Document all cause determination results.



Example:

2/7/14 - Client in office for cause determination appointment. She submitted a letter from her doctor verifying that her son was ill from 1/21/14 through 1/23/14 and required care in the home. Good Cause granted. Non-compliance ended. NA 820A mailed batch. Client agreed to participate in next Supervised Job Search session starting on 2/10/14 through 4/4/14. WTW2 signed by client and CalWIN updated. Transportation authorized for 02/2014. Copy of WTW2 hand issued to client and sent to IDM. *Name/Worker Number*

34.6.8 Good Cause

Record reason for Good Cause, date Good Cause approved, documentation on file to support the authorization of Good Cause and on-line entry of Good Cause with review date:



Example:

03/08/14 - Received t/c from client. She stated she was in a recent car accident and will not be able to attend Supervised Job Search. She will mail in her medical verification she received in the emergency room. Informed clt. of requirements for Good Cause and that s/s will be discontinued until she is able to resume her activity. Mailed CW61 & discontinuance NOA to clt. *Name/Worker Number*



Example:

03/15/14 - Received CW61 from clt. and sent to IDM. She will be unable to participate in Supervised Job Search until 04/01/14. Ended activity on-line End Before Expected. Review good cause status on 04/01/14. *Name/Worker Number*

34.6.9 Supervised Job Search/Part-Time Job Search

Record outcomes of Supervised Job Search and Part-Time Job Search.



Example:

12/26/13 - Client began PTE at Edible Arrangements on 12/21/13. \$10/hr, 20 hr/wk. SCD549A received. WTW2 signed and plan entered in CalWIN. SC1764B and placement information sent to ECII via email. TMT request sent, #1543745. All documents submitted to IDM. *Name/Worker Number*



Example:

1/8/14 - Client requested ancillary payment for tools required by employer. Received email from employer regarding tools needed for work. Received email from client with list of cost of tools. SCD1584 completed for total of \$118.82. Approved and authorized in CalWIN. NOA issued. Client understands that original receipt must be submitted within 10 days. All documents sent to IDM. *Name/Worker Number*



Example:

12/27/13 - JC completed without employment. Client does not have HSD or GED and has very limited work experience. WTW2 signed for ASMT/ a concurrent activity. ASMT appt. set for 12/31. Client understands that she must attend a concurrent activity 20 hr/wk. WTW15 completed. FLSA = 32. All documents submitted to IDM. Copy of WTW2 and SCD1723 given to client. Copy of WTW2 submitted to ASMT. CalWIN entries made and updated. SC1764B sent to ECII via email. *Name/Worker Number*



Example:

1/3/14 - Client has stopped participating in job search activities and has not made contact with ECIII. Deactivated from Open Road for not participating since 12/26/13. SC1764B sent to ECII via email. *Name/Worker Number*

34.6.10 Assessment

Record the results of Assessment appointments.

1/22/14 - Client in for continuing assessment appt. Reviewed PESCO test results, education, and work history and career goals. Client has completed 12th grade in school, however states she did not pass the equivalency exam, end of year test and did not receive her diploma. Clt. was previously employed part-time but was recently laid off and would like to explore career options and obtain HSD. Clt. has a limited work history with limited employment skills. In the future client would like to work in an office as

a bookkeeper/clerk but lacks the vocational skills requested by employers. Clt. could benefit from VTR to upgrade job skills so that she could apply and secure employment in her occupation of choice. AC contacted Metro Ed site rep to see if clt. could obtain HSD as clt. has all her HS credits and would just need to retake exit exam. Site rep agreed clt. may be a good candidate for HSD and transcripts would be reviewed. AC emailed referral to Metro Ed and AC and clt. signed the WTW2 for the following activities: (1) vocational training- accounting/bookkeeping (2) education directly related to employment. PESCO test results support clt. career goal and she understands the demands required to become a bookkeeper. Employment Plan report completed and Eureka given to clt. *Name/Worker Number*.

34.6.11 Civil Rights

It is the policy of the SSA and the administration of public assistance and social services that programs are nondiscriminatory to the effect that no person shall, because of race, color, national origin, ethnicity, political affiliation, religion, marital status, sex, sexual orientation, gender identity, gender expression, age or disability be excluded from participation in or be denied the benefits of, or be otherwise subject to discrimination under any program or activity receiving federal or state assistance.

Common-Place Handbook Chapter 36 details policy on disability accommodations and on language access, including procedures for requesting interpreters and translations. [Refer to Common-Place Handbook, "[Civil Rights](#)" on page 4-1.]



Reminder:

Staff must document thoroughly on the **Maintain Case Comments** window the client's language need and how bilingual services were provided to the client, if appropriate.