Caseload Documentation: The What, The Why, and The Where

Purpose
Develop skills for proper caseload documentation.

Objectives
Upon completion of this course, you will be able to:

- Identify critical areas of documentation;
- Recognize the importance of proper documentation; and
- Determine the proper locations for documentation information.

Table of Contents

W-2 Contact Information

Questions regarding this training material should be directed via your local agency process to the Partner Training Team,
Email: PTTTrainingSupp@wisconsin.gov
A contact person is available to answer e-mailed questions related to this training material, assist you in completing any activity that you are having difficulty with, and/or provide explanation of anything else about this training material.

Questions regarding W-2 production cases and systems should
be directed via your local agency process to the BWF Work Programs Help Desk at:
Email: bwfworkprogramshd@wisconsin.gov
Telephone: (608) 422-7900
W-2 Policy questions should be directed to your Regional Office staff.

DCF is an equal opportunity employer and service provider. If you have a disability and need information in an alternate format, or need it translated to another language, please contact
(608) 535-3665 or the Wisconsin Relay Service (WRS) – 711.

For civil rights questions call (608) 266-5335 or
the Wisconsin Relay Service (WRS) – 711.

Why Do We Document

What are the benefits of comments and documentation for the FEP?

What are the benefits for the participant?

How does this benefit the agency?

Case Comments

- A chronological timeline of the application process and ongoing case history

- Case Manager rationale for decisions made

Documentation of information used to determine eligibility

Notes:

PIN Comments

⊠ Add PIN Comment ❓

Comment

```
Notes




```
1000 characters remaining

Comment Type (Select all that apply.)

Select ▾

Justification for Actions

- Placement: _____

- Change in placement: _____

- Assigned activities: _____

- Referrals: _____

- The need for accommodation: _____

- W-2 extension information: _____

- Summary of informal and formal assessments: _____

Day to Day Events

- Appointments: _____

- Phone calls: _____

- Other information: _____

- Good cause determination: _____

Does This Belong Here?

Below is a set of comments. Read through the comments and decide what information belongs in comments and what information would not be there.

> Helena came into the appointment and stated she had to drive 150 miles out of town to pick up her 16-year old daughter and new granddaughter. She almost ran out of gas. They will be living with her now. Her granddaughter is only a few days old and she is really adorable. Helena said her daughter is bi-polar and she's not sure if she can take care of the baby. The baby's father is a bum with no job.

Notes:

Objective vs Subjective Comments

Objective Comments:
- _____
- _____
- _____

Subjective Comments:
- _____
- _____
- _____
- _____

Subjective to Objective

The statements below are examples of subjective comments. Change these statements to objective comments.

Subjective Comment Example:

"It looks like Melinda's boyfriend gave her another black eye today."

Objective Comment Example:

"Melinda came to her appointment with a black eye."

Subjective Comment:

"Latrice doesn't want that job at Menards because she didn't show up for 2 interviews."

Objective Comment:

Subjective Comment:

"Maria says her back is still painful and can't look for work right now, but she was carrying her chunky 3-year-old son and didn't seem in pain."

Objective Comment:

CWW Verification and ECF

Electronic Case File

Before you request an individual bring in a verification item, look in ECF to see if it has already been provided. We don't want to over verify. Some verification items only need to be provided one time.

Items that only need to be verified ONCE:

- _____

- _____

- _____

- _____

Notes:

What's in it for You?

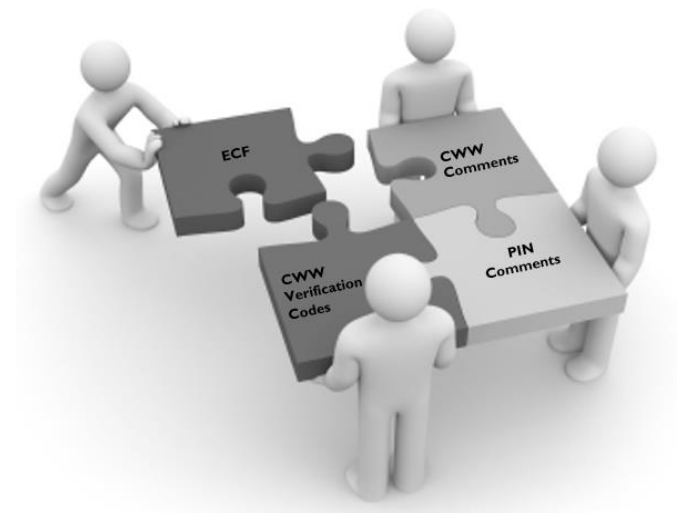Identify three benefits to you and/or the W-2 participant for maintaining a well-documented case:

1.

2.

3.

Key Points to Remember

- Did I tell the full story?

- Did I document the rationale for decisions?

- Did I explain the next steps of case management?

- Did I collect the appropriate documents to verify eligibility?

- Did I code those documents accurately in CWW and ECF?

Appendix

4.1.2 Information Requiring Eligibility Verification

The chart below provides a list of eligibility criteria along with suggested sources of allowable verification. The list of sources to verify an eligibility item is not exhaustive, but provides a sampling of the possible sources.

Eligibility Criteria	Suggested Sources of Verification	ECF Code
Identity (verify identity only for all adults in the W-2 Group and only once)	Driver's License	ID
	State Issued ID Card	
	Student ID Card	
	U.S. Government ID Card	
	Military ID Card	
	Native American ID Card or other tribal membership documentation issued by a Federally recognized tribe	
	Any photo ID document issued by *United States Citizenship and Immigration Services (USCIS)*	
	U.S. Passport	
	Enhanced Driver's License	
	Any unexpired immigration document	
	Any other reliable document that verifies identity	
	DX (DATA EXCHANGE) code when entered by CARES in the **Identity Verification** field	Not applicable
	SC (SSI 1619b SSDI OR MEDICARE) code when entered by an IM Worker in the **Identity Verification** or **Identity MA Verification** field. If the code is entered only in the **Identity MA Verification** field, the FEP will need to enter the code in the **Identity Verification** Field.	

	DE (DATA EXCHANGE) code when entered by an IM Worker in the **Identity Verification** or **Identity MA Verification** field. If the code is entered only in the **Identity MA Verification** field, the FEP will need to enter the code in the **Identity Verification** field. **SAVE database	
Birth Date (verify birth date only once)	Certified copy of Birth Certificate (must be marked "For Administrative Use") Hospital Birth Record Driver's License U.S. Passport State Issued ID Card Certificate of Naturalization (must be marked "For Administrative Use") Certificate of Citizenship (must be marked "For Administrative Use") Native American ID Card or other tribal membership documentation issued by a Federally recognized tribe CARES birth query (Wisconsin Births only) Any unexpired immigration document Any other reliable document that verifies birth date	ID
	State Online Query Internet (SOLQ-I) data exchange (SSA Verification** field is V - VERIFIED) NB (Continuously Eligible Newborn) code when entered by an IM Worker MB (Medicaid Birth Claim) code when entered by an IM Worker	Not applicable
Wisconsin Residency (verify residency at	Landlord inquiry or current lease Utility bill for water, gas, electricity, or telephone that includes name and Address	SUE

application and thereafter only if questionable) **Reminder:** Do not require residency verification for homeless or migrant assistance groups newly arrived to the area. For all other W-2 Groups, verify residency for the primary person.	Mortgage receipt Subsidized housing program approval Weatherization program approval Signed statement from a shelter or individual providing temporary residence	
	Pay check stub including name, address, employer's name, address and phone number	EI
	Wisconsin Driver's License Wisconsin ID card	ID
	Wisconsin Motor Vehicle registration	VI
	School registration record	WLCM or SCHL, as appropriate
	Any other reliable document that verifies Wisconsin residency	WMSC, or as appropriate
U.S. Citizenship (verify citizenship only once)	Certified copy of Birth Certificate (must be marked "For Administrative Use") Baptismal Certificate or other religious record that lists a U.S. place of birth Hospital Birth Record or other medical birth record that lists a U.S. place of birth Native American ID Card or other tribal membership documentation issued by a Federally recognized tribe Certificate of Naturalization (should be marked "For Administrative Use") Certificate of Citizenship (should be marked "For Administrative Use") U.S. Passport Enhanced Driver's License Citizenship documents issued by the U.S. Department of State to U.S. citizens born abroad	ID

	Final adoption decree that lists a U.S. place of birth	
	U.S. Citizen ID Card or Northern Mariana Card	
	DX (DATA EXCHANGE) code when entered by CARES in the **US Citizenship Verification** field.	Not applicable
	**CARES birth query (Wisconsin Births only)	
	**SAVE database	
	MB (MEDICAID BIRTH CLAIM) code when entered by an _IM_ Worker in the **US Citizenship Verification** or **US Citizenship MA Verification** field. If the code is entered only in the **US Citizenship MA Verification** field, the FEP will need to enter the code in the **US Citizenship Verification** field.	
	NX (CONTINUOUSLY ELIGIBLE NEWBORN) code when entered by CARES in the **U.S. Citizenship Verification** field	
	NB (CONTINUOUSLY ELIGIBLE NEWBORN) code when entered by an IM Worker in the **US Citizenship Verification** or **US Citizenship MA Verification field**. If the code is entered only in the **US Citizenship MA Verification** field, the FEP will need to enter the code in the **US Citizenship Verification** field.	
	DE (DATA EXCHANGE) code when entered by an IM Worker in the **US Citizenship Verification** or **US Citizenship MA Verification** field. If the code is entered only in the **US Citizenship MA Verification** field, the FEP will need to enter the code in the **US Citizenship Verification** field.	
Qualifying Non-Citizen Status	Please see W-2 Manual Chapter 2.4.1.1	ID

Marital Status (verify only if questionable)	Certified copy of Marriage Certificate (must be marked "For Administrative Use") Judgment of Divorce	LEGAL
Custody of Children (verify only if questionable)	Court order	LEGAL
	** KIDS child support disbursement query	Not applicable
Social Security Number (SSN) (verify only once)	**Data Exchange verifying verbal statement of individual's SSN **Note:** This is the preferred form of verification for SSN. If the data exchange returns a "V-Verified" from the _SSA_, there is no need to scan paper verification into ECF.	Not applicable

	The following documents may be used as verification if the data exchange is unavailable or results in a discrepancy and must be scanned into ECF:
	
	    Social Security Card
	
	    Pay stub displaying the Social Security number
	
	    W-2 Tax Form displaying the Social Security number
	
	    Other reliable documents displaying both the name and SSN
		SSN

SSN Application Date (verify only if individual does not have SSN)	Form SS-5, Application for Social Security number SSA Document (e.g. receipt for SSN Application) Other Written Statement or Agency Form stating that the individual has applied for an SSN Oral statement from representatives of other state agencies, hospital staff, or other third parties verifying that a record exists of the individual's application for an SSN.	SSN

	For newborns only: Hospital discharge letter (must specifically reference the application for a SSN)	
	For exempt qualified non-citizens: See 2.7.1	Not applicable
Earned Income	Dated check stubs for the past 30 days Letter from employer stating pay frequency, rate per hour, and average hours per pay period. Income tax return for the previous tax year	EI
	Self-employment business tax records	SEI
	Any other document that verifies earned income	SEI or EI as appropriate
	**CARES data exchange	Not applicable
Unearned Income	Social Security Award Letter Unemployment Compensation Award Letter Divorce paperwork identifying a financial settlement Documentation of Court Awarded compensation Compensation Award Letter Veteran's Administration Award Letter Any other document that verifies unearned income	UI
	** CARES data exchange	Not applicable
Financial Accounts* (e.g. Savings, Checking, Prepaid Debit Cards, etc.)	Current financial, bank, credit union, or loan statement *Note: Do not verify closed accounts or cards	BNK

Insurance Policies	Life insurance policy and the insurance company's statement on the policy's current cash value	LIP
Trust Funds	Trust agreement Court order	AST
Other Savings or Investments Certificates of Deposit, Retirement Accounts (including IRA and KEOGH accounts), Stocks or Bonds	Statement from stockbroker	AST
	Copy of bonds	SB
	Current bank, credit union or savings and loan statement	BNK
Real Estate	Deeds or titles Real estate receipts or tax records Statement of current value from local business	AST
Vehicles Cars, trucks, boats, campers, snowmobiles, and other motorized vehicles	Car title or registration Written statement from car dealer Loan papers or sales receipt State Division of Motor Vehicle statement	VI
Pregnancy	Medical statement from a doctor or other qualified medical provider (not allowed for At Risk Pregnancy). *At Risk Pregnancy (ARP) Medical Information/Verification (4070) F*orm or a letter from a physician on the physician's letterhead that contains all the information listed 7.4.1.2	
School Enrollment Status Required for children subject to Learnfare (see 16.2.3) and for a	Report Card Statement from school or school district* Any other document that verifies school enrollment status* *Note: Verification for Dependent 18-year-olds must include expected graduation date.	WLCM for Learnfare SCHL - for Dependant 18-year-olds

Proof of a current and valid driver's license. Required for a JAL for the purchase or repair of a vehicle.	State of Wisconsin Department of Transportation's <u>webpage</u>, "Check driver license information" statement. .	VI
Proof of motor vehicle liability insurance. Required for a JAL for the purchase or repair of a vehicle.	Printed or electronic documentation showing proof of motor vehicle liability insurance. Please see W-2 Manual Section 17.2.1.3	VI
Proof of permission from a probation, parole or extended supervision agent to purchase a vehicle. Required for a JAL for the purchase of a vehicle.	A note on Department of Corrections letterhead or an e-mail sent via the state e-mail system to the *FEP* by a probation, parole, or extended supervision agent. Please see W-2 Manual Section 17.2.1.3.	VI

What Goes Where Info Graph

PIN COMMENTS

WWP

CASE COMMENTS

CARES Worker Web

Enrollment

Informal Assessment

Career Assessments

Job Readiness

Employability Plan

Goals

Activity Assignment

Supportive Services

Participation Tracking

Good Cause Determination

Disenrollment

Placement

Placement Determination

Employment

Household Changes (person add, etc.)

6-month Eligibility Review

Client Registration

Financial Eligibility (Income, Assets, etc.)

Non-Financial Eligibility (Citizenship, Date of Birth, etc.)

Case Closure

Discrepancy (Prisoner, SOLQ-I, SWICA, UIB)

Fraud (Overpayment, IPV, etc.)