***Trainer’s Script***

Caseload Documentation:

The What, The Why, and The Where

***Materials***

**Trainer Materials**

Trainer’s Notes

Caseload Documentation PowerPoint

Class Sign-in Sheet

Turn on annotation tools

**Learner Materials**

Participant Guide

Suggested Pace

This course is a 90-minute webinar. The following agenda is the suggested pace.

|  |  |
| --- | --- |
| Welcome and Introduction | 8 minutes |
| Buy in | 5 minutes |
| Case Comments | 8 minutes |
| PIN Comments | 15 minutes |
| Does This Belong Here | 7 minutes |
| Subjective vs: Objective | 7 minutes |
| CWW Verification & ECF | 15 minutes |
| What’s In It For You | 5 minutes |
| Wrap Up/Closing | 7 minutes |

Engagement Activity - Where Do I Want to Vacation

PPT 1

**Directions to Trainer:** Interact with the participants as they arrive. Give them instructions on how to use the annotation tool and ask them to annotate on the picture where they would like to vacation. Those instructions will have to be repeated many times, as new people arrive.

**Instructions to Post in Chat:** Using any of the annotation tools, please mark the picture of where you like to vacation once we can vacation again.

**Estimated Length:** I would suggest starting this about 15 minutes prior to the start of the webinar.

**Trainer Instructions to Learners:** Throughout our webinar, we will be using several different tools, including the chat box and annotation tools. As you arrive, please take a few seconds to familiarize yourself with the tools we are using today to interact with each other. Using any of the annotation tools, please mark the picture of where you like to vacation once we can vacation again. To view your Annotation Toolbar, select View Options at the top, select Annotate and then Stamp.

 Introduction

 PPT 2

**Note to Trainer:** Trainers briefly introduce themselves with camera ON.

Good morning and welcome to Caseload Documentation: The What, The Why, and The Where. We are so happy to have you join us today. We’re excited to bring you this training through the virtual classroom.

Today’s topic will be “short and sweet” – we will cover:

* What information should be in PIN and Case comments;
* Why we enter comments; and
* Where we enter information to accurately document case actions.

Why Do We Document

 PPT 3

 PG 4

Let’s start with the BIG question - Why do we document? I’m sure you’ve asked yourself the following question a few times.

How do I document so that anyone looking at my case will understand what I’m doing and why I am doing it **and**..

it doesn’t take forever to do it; **and**..

it satisfies W-2 policy requirements; **and**..

I’m serving my participants as best as I can.

Yes –that’s a big question. So, let’s break it down into a few smaller categories.

 PPT 4

**What *are* the benefits of comments and documentation for the FEP**? The simple answer here is that it helps you understand the “W-2 story” of the participant – chapter by chapter. Thorough comments will help you understand the journey that you and your participant are on. What’s working, what isn’t working, and where should we go from here. Effective comments and documentation give credibility to your skills as a case manager.

**What about the benefits for the participant?** In your personal life, you rely on accurate record keeping in places like your medical records, your banking accounts, and your payroll. If there’s a mistake, it could really cause you some problems. It’s the same for your W-2 participants. They’re relying on you.

**And how does this benefit the agency?** A good dealof your agency’s success in the W-2 program relies on the accuracy and equity of how the program is administered. Your agency looks to you to accurately document eligibility decisions and document the actions taken to positively affect the success of participants.

And one more thing – **It’s** **required** by W-2 policy!

We’re also going to take a look at how those eligibility decisions were supported by verifying the documents were coded correctly in CARES Worker Web (CWW) and scanned into Electronic Case File (ECF)

So first, we are going to discuss case comments in CWW.

 Case Comments

 PPT 5

 PG 5

In CWW you use case comments to record the eligibility history of the case. These comments are a required and a crucial part of case documentation. When case comments are done correctly and accurately, they provide:

* A chronological timeline of the application process and eligibility history;
* The Case Managers rationale for placement decisions; and
* What documentation items were provided for verification of non-financial and financial eligibility.

 PPT 6

Let’s take a look at the **Case Comments** page in CWW. Notice the drop-down box for **Comment Type**. This gives us the ability to select the type of comment you are entering.

The type defaults to GENERAL, however you can select a specific comment type depending on the information you are entering. For example, during the intake appointment you would select INTAKE as the type. For an eligibility review you would select REVIEW/RENEWAL**/**SMRF. When there is a change reported like income, person add, etc. selectCHANGE. FRAUD, DISCREPANCY, and SUPPLEMENT are additional **Comment Types**.

It is important to select the appropriate **Comment Type** depending on the information you are entering in case comments. You are able to sort by Entered Date Entered By, and Type by clicking the blue headings in the Review Comments section. This can be very helpful when searching for type of comment or comments entered by a specific worker. Remember, you have until midnight of the day the comment was created to edit the comment; after that, it’s too late to change it.

 PPT 7

This screen shot shows the comment transferred in from Client Registration, the type is automatically selected for us when we enter comments in Client Registration. Remember the comment page is **not confidential**, so we never want to enter any information that is confidential in nature such as medical diagnosis, treatment plans, etc.

Let’s take a look at some Intake comments and give you a chance to use your annotation tools. Remember these are in the upper right-hand side of the screen shot.

Engagement Activity - Is it Enough?

**Note to Trainer:** This activity encourages learners to demonstrate their ability to identify pertinent and unnecessary comments. The comments screen shot will appear in the PPT. Read the instructions and give the learners about 1 minute for each comment.

**Trainer Instructions to Learners:** Let’s take a look at a few examples of Intake comments in CWW. Review the comments on the screen and type in the chat what information you feel is missing.

**Note to Trainer:** Monitor responses in the chat. Debrief the responses as they come in.

 PPT 8

The first screen shot of the CWW comments could use a bit more information. Type in the chat box what information is missing.

***Trainer Response:*** *This has very little information and doesn’t have the correct type selected.*

*It also doesn’t tell us who is in the home, if she has any income or assets, or what verification was provided for financial and non-financial eligibility.*

 PPT 9

Let’s take a look at another sample of case comments. Again, type in the chat box what we could add to tell the story.

*This one* *is a little better but still doesn’t tell us who is in the home, what does she have assets/income and what items did she provide for verification.*

 PPT 10

We have one more example of case comments for you to review. Read the comment on the screen, does it tell the full story?

**Learner Instruction:** Give us a thumbs up or thumbs down in the chat box.

*This has much more detail, it tells the story or summary of what happened during the intake appointment.*

Comments are a critical part of documentation and need to tell the story. In CWW, the case comments tell the story about the case, and are eligibility related. Case comments need to include specific details about who is in the W-2 Group, financial eligibility criteria, the non-financial eligibility criteria, and how did they verify that information.

Let’s learn more about comments with PIN Comments in WWP.

PIN Comments (WWP)

 PPT 11

 PG 6

Now let’s move over to WWP and discuss PIN comments. PIN comments are more like a W-2 biography of an individualin the W-2 program.

Here’s where you see why there was success, or the reasons to develop a new plan. PIN comments give us the detailed actions of just what is happening with the participant and an understanding of where we are going next and why.

This is why there’s a great amount of information that needs to be entered into PIN comments. Let’s examine a few examples.

 PPT 12

Justification for Actions

* **Placement** – why was it determined to be the most appropriate placement? And if it’s a two-parent household, why was this parent chosen as the most employable? Remember – if it is a two-parent household, both parents have their own individual PIN comments which sometimes results in having to put placement information and rationale into both parent’s PIN comments.
* **Change in placement** – what has changed? Why are we making a placement change? Tell the story!
* **Assigned activities**, and by that I mean why an activity was assigned, including your rationale in assigning, how it ties to the participant’s goals, and what is the expected outcome of that activity. It’s the way we’re going to be able to determine success with an activity. What’s working and what isn’t?
* **Referrals** -why the referral was made and what was the outcome of that referral? It’s important to go back and record those outcomes. We sometimes forget that piece, but it’s all part of the W-2 story – was it a successful referral, or didn’t it work out? Do we have to look for another resource?
* **The need for accommodation**, how the accommodation is being met, and document the completion of the Services and Accommodations form.
* **W-2 extension information** – details about the discussion with the participant, the rationale for the decision, and the importance of fully engaging in their assigned activities. Many folks will be looking at your explanation for this action. Make sure the justification is evident to anyone reading your summary.

These are just some examples of actions taken as part of case management that need to be documented in PIN comments. **Ask** What other case management actions need to be documented in PIN Comments? Enter them in the chat.

***Possible Responses:***

* *Fact Finding results*
* *Change in hours of participation*
* *Other responses learners may enter*

 PPT 13

You also want to make sure you document information regarding:

* **A summary of assessments** - both informal and formal. Why did you request a formal assessment? Why are you doing a new informal assessment? And when the results are received – did it cause you to make a placement change, change in hours, and the need for accommodations? Or maybe you discovered there was no need for any changes. These actions help you keep track of where you are in the assessment process.
* And then there are the day-to-day events that happen to and with participants:
	+ **Appointments** – both scheduled and missed. Why did you schedule the appointment? Review? Person Add? EP update? Enter a summary of what happened at the appointment.
	+ **Communication** – you need to document when and why you called a participant or a third-party contact. If you had to leave a message, it’s important to document that fact. You also need to document the phone calls that you receive. When did you receive the call, and if it was a voice message, when did you call them back? You need to document all means of communication, this includes emails and text messages. And here’s the critical piece of this documentation – details of the conversation. Because without that, you may not be able to explain actions taken on the case.
	+ **Other information** examples would include – employment (obtained or lost); changes in income; people moving in or out of the household. You may be thinking that this type of information would only belong in Case Comments. But remember – this type of change could affect activity assignment, eligibility and placement. Sometimes, information must be entered in both Case and PIN Comments.
* The last example we’ll discuss is **Good Cause Determination** – here’s where you need to see the “why” or “why not” good cause was granted in addition to your entries in Participation Tracking.

 PPT 14

WWP gives you the ability to enter the **Comment Type** along with the comment. This allows you – and anyone else looking at the case – to scan for a particular event. Just remember, all comments can be edited before midnight of the day they are entered. After that they cannot be changed.

 PPT 15

As you can see – you have many to choose from (18). But choose carefully – match your **Comment Type** to the information whenever possible. If it’s appropriate, you can select more than one. I know GENERAL is a **Comment Type** – but that should only be used when nothing else applies. You’ll thank yourself later and also thank your co-workers when you have the need to look at what others wrote.

Engagement Activity - Where Does it go?

**Trainer Note**: This activity gives the learner a chance to demonstrate their knowledge of understanding what information is appropriate for case comments, what’s appropriate for PIN comments, and what type of information will need to be entered in both.

**Trainer Instructions to Learners:** We have discussed the type of information that is expected and appropriate for both CWW Case Comments and WWP PIN Comments. We’ve also mentioned that sometimes information must be documented in both places. As we take a look at a few comments use your annotation tools to designate where you believe this information should be entered.

 PPT 16

*Caroline called this afternoon to let me know that the reason she missed Job Club this morning is because she had a car accident. There were no injuries.*

**Trainer Response:** This belongs in PIN comments. This information relates to W-2 activities, participation, and Good Cause determination.

 PPT 17

*A change report was received from Jackson today stating that he had opened a savings account last month. He included a statement from the bank.*

**Trainer Response:** This belongs in case comments. This information is regarding financial information - an asset.

 PPT 18

*Chandra called today to inform us that she started work at National Bank yesterday. She will be working 35 hours a week and making $15.00/hour.*

**Trainer Response:** This belongs in BOTH. Her new employment is related to financial eligibility BUT also her W-2 activities and placement.

 PPT 19

*James dropped off his career assessment results from Halfway Technical Institute today.*

**Trainer Response:** This belongs in PIN comments. It is directly related to information we will use to determine activity assignments.

 PPT 20

*Maria called to report that her boyfriend has moved back into the household. He is her minor son’s father.*

**Trainer Response:** This belong in both. This contains non-financial information regarding household composition, but also, since he is the father of her son, W-2 information that could affect placement decision and activity assignment.

 PPT 21

Great job! A copy of this info graph can be found in the Appendix of your Participant Guide.

PIN Comments Continued

 PPT 22

What we discussed a few minutes ago was an overview of what *should* be in PIN Comments.

But what *shouldn’t* we see? As explained earlier, we can’t have any confidential information here either. So, when you are documenting the need for a formal assessment, for example, you can use terms like Mental Health or Physical Limitations or Impairment. You just can’t identify a specific diagnosis in comments.

We also don’t need to see EVERY LITTLE DETAIL of what was said or discussed. You want to make sure you comment on only the relevant information and facts. If it doesn’t seem relevant to the case – don’t enter it. A pleasant conversation about the weather is nice, but it definitely doesn’t need to be included in your comments. On the other hand, if they were late to an appointment because of a severe thunderstorm – that’s relevant and must be included.

Let’s look at an example of PIN Comments. Based on all the information we just discussed, we want to determine what’s good and not so good about these comments.

Engagement Activity - Does This Belong Here?

 PPT 23

 PG 7

**Directions to Trainer:** This activity is to let learners demonstrate their ability to identify pertinent and unnecessary comments, confidential comments, and opinionated comments. The comments will appear in the PPT. Read the instructions and give the learners about 1 minute for each action. Debrief their actions as you go.

**Trainer Instructions to Learners:** Read the comments on your screen. As I ask you a few questions, please put your responses in the chat.

1. Do you see any information that is not pertinent or necessary, therefore not needed in PIN comments?

**Trainer use the annotation tool to draw a line through the following**:

* 1. Came into appointment
	2. Drove 150 miles
	3. Almost ran out of gas
	4. Granddaughter is adorable
1. Do you see information or data that is absolutely necessary?

**Trainer use the annotation tool to use a check mark for the following:**

1. 16-year-old daughter and granddaughter living with her
2. Not sure if daughter can take care of baby

1. Do you see any confidential information? If so, what do you believe is confidential?

**Trainer use the annotation tool to circle the following:**

a. Daughter is bipolar

1. Do you see any information that seems like an opinion? If so, please let us know what that is in the chat box. (X out)

**Trainer use the annotation tool to use a check mark for the following:**

a. Baby’s father is a bum

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 really is 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.

Very good! And that leads us right into our next topic – Subjective vs Objective comments.

Objective vs Subjective Comments

 PPT 24

 PG 8

As you enter comments, either Case or PIN, you may be tempted to enter information that might be considered opinion or subjective. And it’s very important to remember that your comments must always be objective – in other words – only based on fact.

We must record what’s factual – not **your** thoughts on their actions or why **you** think they behaved in a certain way. For example – if you write that John came to the appointment drunk – that probably is your subjective thought based on his actions, behaviors, or maybe because you smelled what you thought was alcohol. Unless you do a blood alcohol test right then on John, you do not know for a fact that he was drunk. A more objective way to enter that information is to describe his behaviors or actions. You can write “John was slurring his words and stumbled when he entered my office.” John’s actions and behaviors could be because he was inebriated, and your first thought was correct. BUT – there could be other explanations such as medications or illnesses that could account for his behavior. When you enter subjective comments, it could unfairly influence others who read it.

 PPT 25

So – do we have a clear winner? Objective will always remain the Champion! Just stop and give thought before you make an assumption or draw a conclusion and enter a subjective comment.

We are going to practice Objective and Subjective comments with an activity.

Engagement Activity - Subjective to Objective

 PG 9

**Trainer Notes**: This activity will give learners the opportunity to demonstrate an ability to identify a subjective comment and change it to an objective comment.

**Trainer Instructions to Learners**: Let’s do a little activity where we change a subjective comment into an objective comment. I’ll first show you a subjective comment. Then in the chat, type how you would change it to make it objective. But first, let’s look at an example.

“It looks like Melinda’s boyfriend gave her another black eye today.” (Subjective)

“Melinda came to her appointment with a black eye.” (Objective)

 PPT 26

Now it’s your turn…type your recommended comment change in the chat.

1.  “Latrice doesn’t want that job at Menards because she didn’t show up for 2 interviews.”

 “Latrice missed 2 interview appointments for a job at Menards.”

 PPT 27

1.  “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.”

 “Maria says her back is still painful and can’t look for work right now.”

We’ll leave this with a thought that’s a good rule of thumb – **never write anything that you wouldn’t want a participant to read.**

CWW Verification and ECF

 PPT 28 - 29

 PG 10

That is a lot of great information on PIN comments!

So far, we have focused on comments, which we know are very important when we are documenting information. We also need to make sure we are documenting eligibility information correctly in CWW. When an individual is applying for W-2 you must verify reported non-financial information such as citizenship, residency, and identity, and financial eligibility, such as income and assets.

As you go through the eligibility driver flow in CWW, it’s important to know what you need to document and verify. There is a list of eligibility criteria and documents that may be used to verify that information in the W-2 Manual 4.1.2. There is a copy of this table in the appendix of your participant guide.

Remember, eligibility requirements and what needs to be verified for the W-2 program can be different from other programs that also use CWW. For example, in W-2 we verify residency instead of the address, and we don’t need to verify expenses.

After you have collected the documentation needed, two important things need to happen.

The first is to enter Case Comments in CWW. Remember, we need to tell the story. Who lives in the household, who is included in the W-2 group, what do they have, such as income and asset, and what was reported, and what did it verify.

 PPT 29

* The second thing is to scan the verification items into Electronic Case File or ECF for short.

Electronic Case File

We use ECF to maintain the paperwork associated with the case or individual. When I say paperwork, that includes the forms signed by you and the participant, items that have been provided for verification, and any notices that are mailed. All of this documentation is maintained in ECF and is accessible to anyone who has a need to view the information. That would include the W-2 worker, staff at the IM agency, and even state staff who monitor cases.

Having all of this information in one place allows for easy access of case information, assures confidentiality by not having paperwork lying around, and it is required by policy.

**Ask** Speaking of confidentiality, does anyone know where you store confidential W-2 information. Type your response in the chat.

*Answer: ECF Confidential Folder*

If the information is not scanned into the ECF, then the staff who do the monitoring at DCF cannot verify that eligibility was properly determined.

 PPT 30

When searching in ECF you can search by the code of the item you are looking for. Remember to look in ECF to see if verification has already been provided before you request the individual bring in a verification item. You can search in ECF within the case using the code of the item you are looking for. For example, if we want to view the birth certificates we would search using BC. We don’t want to over verify this is against policy and a big No, No.

At review it is important to review the verification documents associated with eligibility and request new verification if necessary. If new information is needed, be sure to follow the same steps as you would at time of application. Enter Case Comments on the actions you took on the case and scan the necessary documents into the ECF.

Engagement Activity – Items That Only Need Verified Once:

 PPT 31

 PG 10

**Note to Trainer:** This activity is to let learners demonstrate their ability to identify verification items we only need to collect once.

**Trainer Instructions to Learners:** There are a few things that only need to be verified once. Using your annotation tool, circle the items that are only verified once. There is space in your Participant Guide to record these verification items.

**Answers:**

* *Identity*
* *Social Security Number*
* *Birth Date*
* *Citizenship*

 PPT 32

Remember, if an agency has already verified these items and they are in ECF **do not** have the individual provide the verification again. It is very important to have ECF open and double check that the verification code in CWW matches the document you find in ECF.

 PPT 33

Next we are going to send you on a scavenger hunt to look for verification items that can be used to verify specific financial or non-financial items.

 Engagement Activity – Verification Scavenger Hunt

 PPT 34

**Note to Trainer:** This activity is to show learners there is more than the standard acceptable verification item that can be used. As learner responses come in debrief response and allow learners to continue searching.

**Trainer Instructions to Learners:** We all know you have your favorite source of verification, but in this activity, we want you to discover alternate sources of verification, the ones that are not your typical “go to”. On the screen you’ll see four items that require verification. Using the chart in the Appendix of your Participant Guide or W-2 Policy Manual 4.1.2, choose a source of verification that might be new to you or you didn’t realize could be used. Using your annotation tool, type the source of verification you chose under the item it verifies in each column.

**Trainer Note**: As learners’ type on the screen, acknowledge, debrief and talk about their choices.

Remember to use what the applicant or participant **can** provide not what you want them to provide, and if it’s already verified and in ECF don’t make them provide it again.

***Possible Responses:***

***Identity*** *– Driver’s License, State ID, Federal, Military, Tribal, Passport, Immigration documents, any reliable document that verifies identity.*

***Birth Date –*** *Birth Certificate, BQ, Hospital birth record, Driver’s License, Passport, State ID card, Native American ID card, Immigration Documents.*

***Wisconsin Residency –*** *Landlord inquiry, current lease, Utility bill, Mortgage Receipt, Housing program paperwork, Weatherization program approval forms, Statement from Shelter, pay check stub that includes name, address and employer information, Wisconsin ID or Driver’s License, Wisconsin motor Vehicle Registration, School Registration.*

***US Citizenship*** *– Birth Certificate, BQ, Baptismal Certificate or other religious record that has US as place of birth, Hospital Record, Native American ID, Certificate of Naturalization, Certificate of Citizenship, Passport, Enhanced Driver’s License, Adoption Decree, Northern Mariana Card, Medicaid Birth Claim (various types/Codes).*

 PPT 35

**Ask** Did you notice the chart with verification items also has the scan codes for ECF? This keeps things in one place is helpful.

The ECF handbook also has a matrix available in spreadsheet format that can be downloaded and used as a reference for document codes. Because the ECF handbook is updated periodically, be sure you have the latest version.

What’s in it for You?

 PPT 36

 PG 11

We have covered a lot of information today on comments and documentation. We would like you to take a few minutes to jot down a few thoughts in your Participant Guide on how good documentation can benefit you.

**Ask** Would anyone would like to share how documentation helps them? Using the annotation text tool, type on the whiteboard how documentation helps you.

Remember eligibility documentation is important and maintaining well documented cases will help with accurate eligibility determination, provides a clear understanding of all case actions, show the history of the participant’s case, and over all can help reduce eligibility errors and potential overpayments.

Just as you have experienced changes in your life, so do W-2 participants. Be sure to collect and maintain the most up-to-date information. If you don’t have the most current information documented and stored correctly, how will you know where to go next?

Good case maintenance will benefit you and the participant by making certain that you are on the right track.

Engagement Activity - Wrap Up/Key Points to Remember

 PPT 37

**Note to Trainer:** This activity will allow learners to share their thoughts.

**Trainer Instructions to Learners:** On the whiteboard, we would love to see you write your “Take-a-Way” tid-bit from this class, your “Aha Moment” or “Imagine That” thoughts.

**Note to Trainer**: As you see comments, thank them for sharing and reiterate the importance of their responses.

Before you finish and leave your case, ask yourself a few questions.

* 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?

As with everything, the longer we practice a task, the better we become at it.

 Closing/Evaluation

As we’re sure you have figured out, documentation is a critical function of being a Case Manager. Case Comments and PIN Comments objectively tell the participant’s story, from W-2 eligibility details through W-2 case management processes and successes.

Accurate verification coding in CWW ensures program integrity and the scanning of that documentation into ECF with the correct correlating code ensures all the pieces fit together. And that should answer the question of “The What, The Why, and The Where”.

Thank you for attending this training today! We appreciate all of your feedback so please click the link in the chat to complete the evaluation for this class.