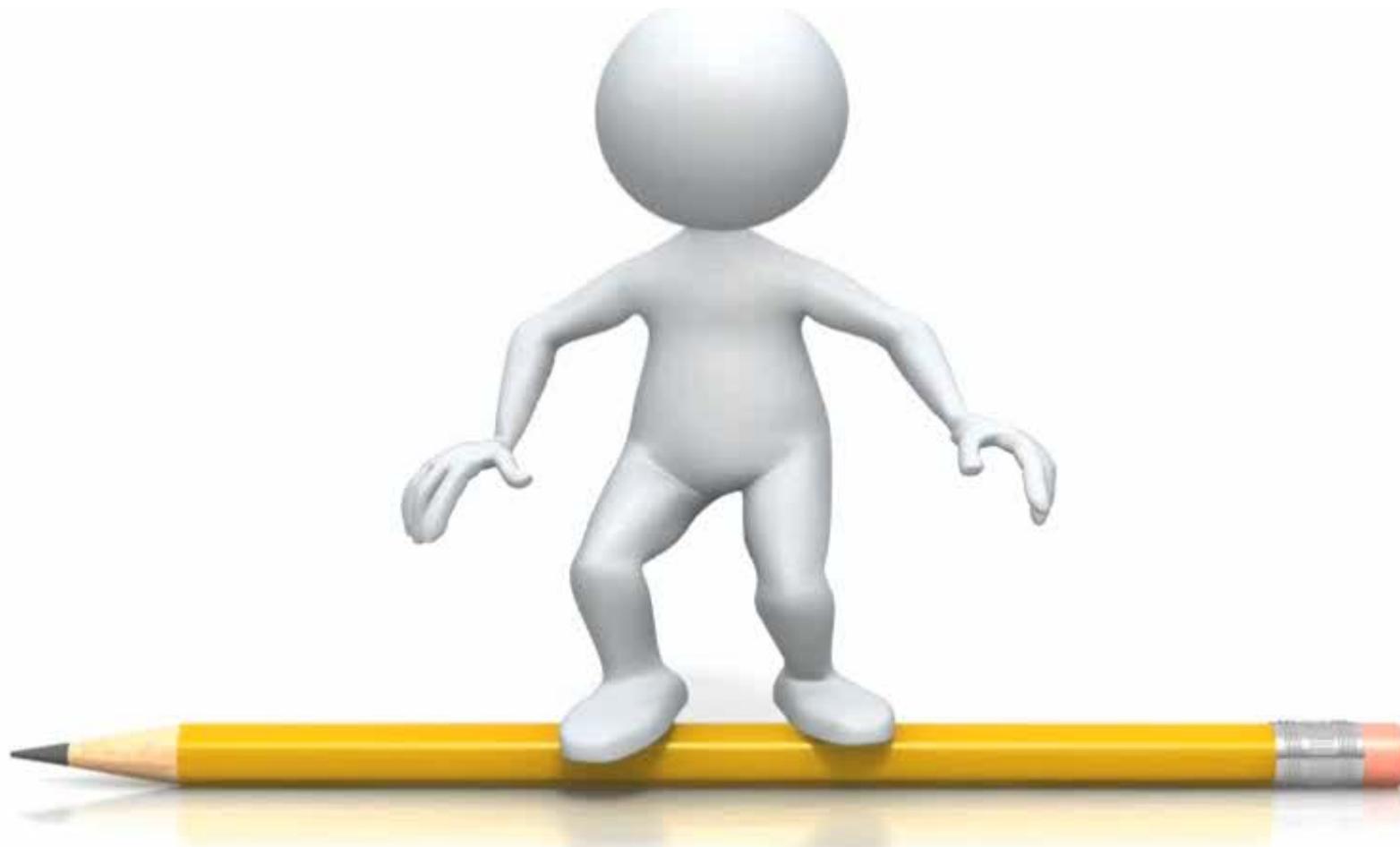


Writing Effective, Efficient Case Notes that Support the Plan

Third Webinar



Jodie Sue Kelly

Cygnnet Associates

What case managers say about case notes

I want to make a difference,
not write a novel.

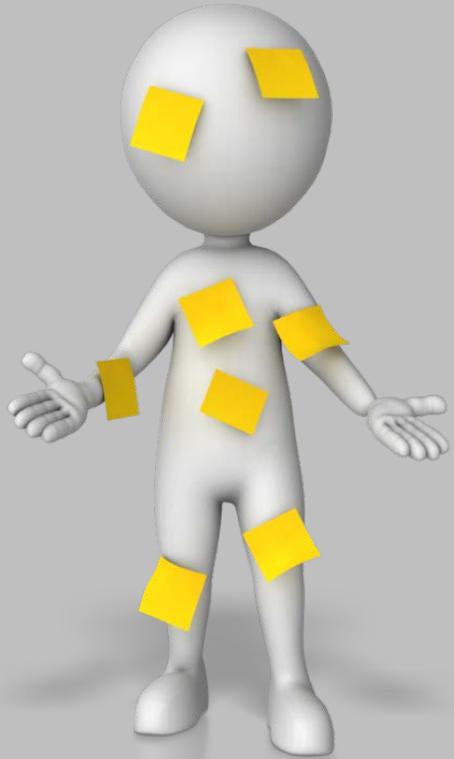
Case notes take too much
time.

I never really got trained on case
notes so I am doing the best that I
can.

I don't know what to say.



Case Notes



Purpose:



To create a concise record of the interactions coaches have with their participants, and the justification for services that have been rendered.

To use a consistent method of communication among staff about what is going on with the participant.

To remind the coach of the content of the last visit or call.

To review action steps and plans.

To work across agencies in an integrated environment by having common case note format.

Good Case Notes are Important!

- Use case notes to refresh your memory.
- A coworker...when you are not available.
- A supervisor...monitor progress and compliance, find out about specific clients, use documentation in case of complaint.
- A monitor...monitor compliance and data validation.
- A partner...to understand the plan.
- Grievance officer...during a hearing.



Potential Problems with Weak Case Notes



Changing Horse Midstream



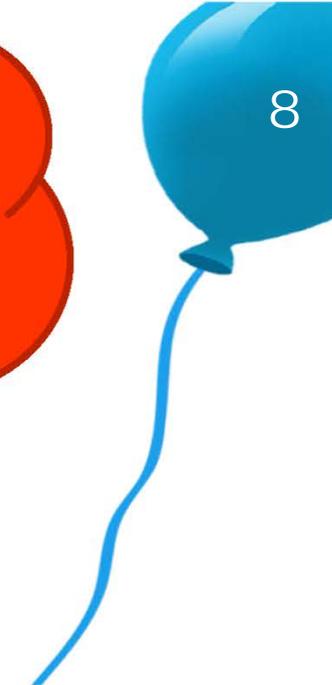
Have you ever???

Taken over someone else's case and had no idea where to start or what to do?



I am feeling deflated. It feels like I am starting over again. What's the use?





*You left and no
one told me.*

**Transitions are important.
If not handled well, we lose the client.**

I already told him all of this. Why am I doing this? What a waste of time.



I vaguely remember having this conversation before. I can't remember. I'm going to have to wing it.



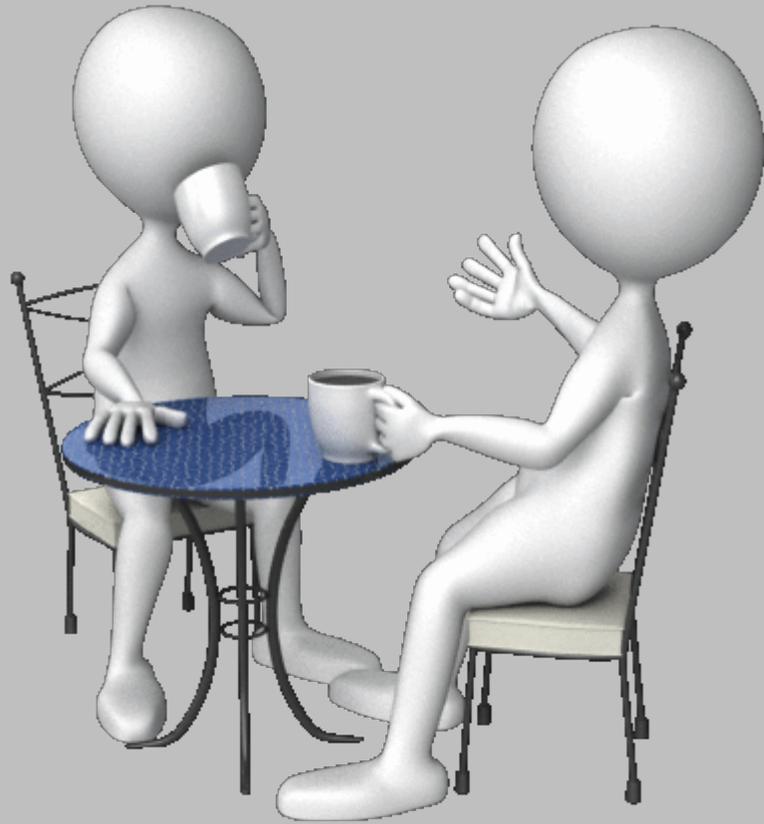
EEEEEEWWWHHAATT?!!

Monitoring

I don't see a plan in the case notes. This service isn't justified. Why isn't this in the case notes?



Without a methodology every session is just a random discussion of the client's current events.



What happens when we have no plan (True Story)



1/9/2018 JSK In person

Patti got job at Thrift Store and starts 1/22/2018. \$35,000 plus benefits and 4 weeks paid time off.

3/26/2018 JSK Call

Patti told me she had been fired from her job. She will begin job search.

4/5/2018 JSK Call

Patti got job at Care and Share. I got information on job.

6/23/2018 JSK Call

Care and Share manager told me Patti had been fired two weeks ago.

7/16/2018 JSK Phone Message

Patti called and left me message that she got a new job.

10/22/2018 JSK Phone

Patti was fired on 9/10/2018 from her third job.

Two Formats Used in the Medical Field

- **SOAP**

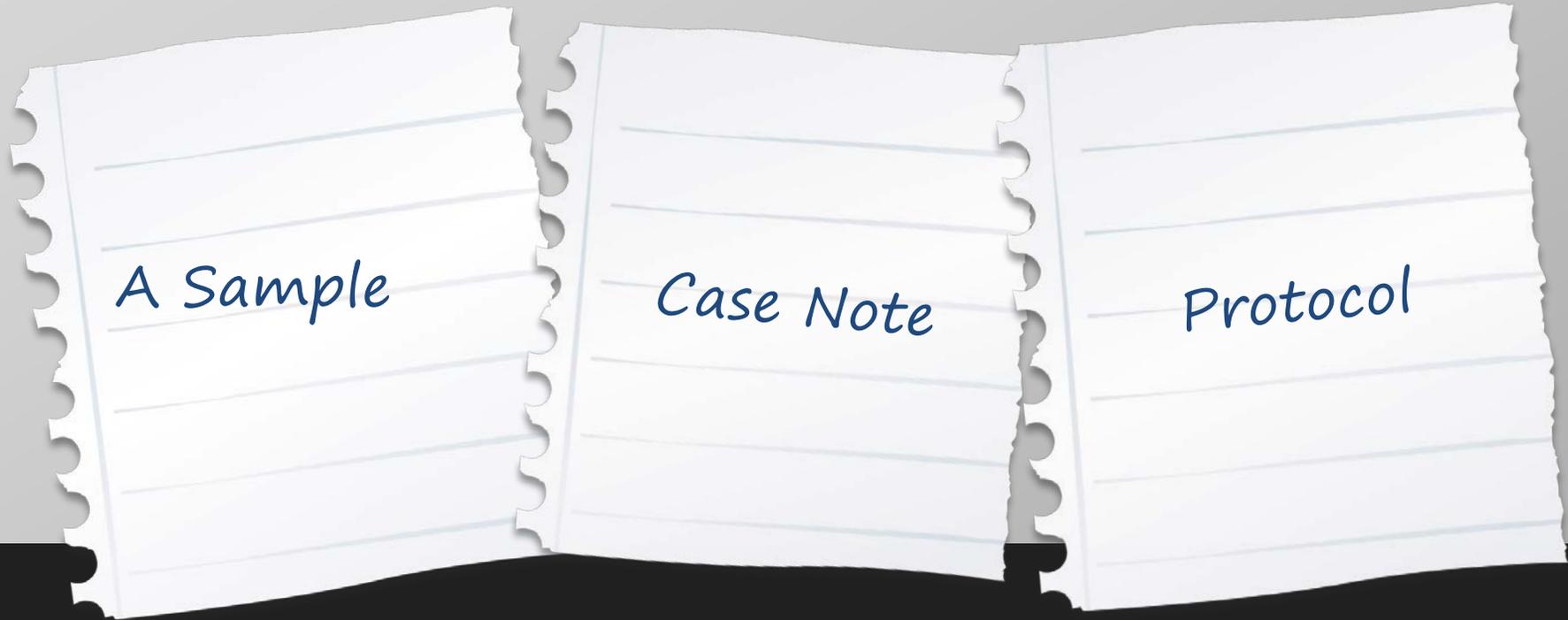
- Subjective
- Objective
- Assessment
- Plan



- **DAP**

- Data: Subjective and Objective
- Assessment
- Plan





**Necessary for Effective Intra- and Inter-Agency
Coordination**

4 Point Format

1. Date/Staff/Type of Contact
2. Participant Reports (PR):
3. Case Manager Reports (CMR):
4. Plan:



Step 1: Document date/staff and type of contact

Date/Initials/Contact Method

(Phone)

(Email exchange)

(Text)

(In-person)

(Letter)

(Facebook message)

Example:

4/12/2018-JSK: In Person

Step 2: Participant Reports

The participant's feelings, concerns, plans, and goals.

Information reported by the participant.
Documents what the participant reports is going on.

Comments made by family members, friends, and other agencies would be included here.



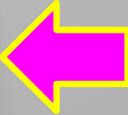
Step 2: Participant Reports (PR)

2. PR:
Document what the participant reports is going on.

Example:

4/16/18 JSK: Phone (PR) Joshua states that he needs a job as soon as possible.

He is behind on his bills and cell phone may be shut off soon.



As an aside: From our “Motivational Interviewing” workshop, notice that Joshua is making “change talk.”

Evoking and reinforcing “change talk” is an important skill.

Step 2: Participant Reports (PR)

Real case note...

Met with Deetra. Everything is going well. She doesn't have many skills to obtain a job. We went over her transferable skills and that she can get a job.

Improved case note...

4/30/18 JSK In person (PR): Everything going well. Believes she doesn't have any marketable skills.

Examples:

4/21/18 JSK: In person (PR): Joshua reports that he has searched for a job with no success. He has not gotten any interviews.

4/22/18 JSK: Email (PR): Job coach instructor said Joshua has low quality resume and does not want to change it.

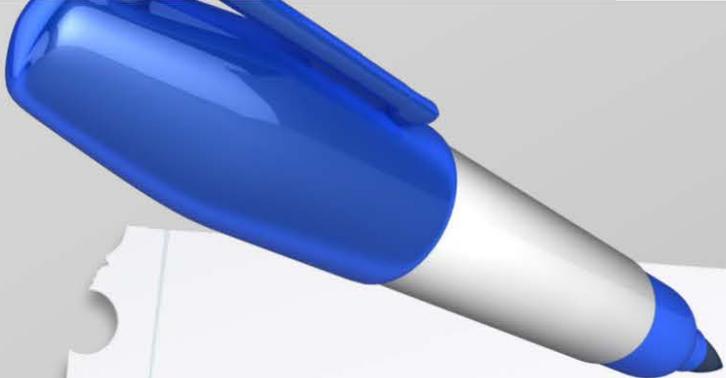
Notice: Both are examples of what the participant or outside entity reported. Document (in brief) the highlights of what the participant/partner told you.

“4/22/18 JSK: Phone
PR: I put in applications
and no one calls me. I
think they don't even
look my application. I
am getting desperate.
Right now, I would take
any job. I can't live this
way.”

You can
use short
quotes
from the
participant

4/22/18 JSK: Phone
PR: “I can't live
this way.”





4/22/18 JSK: Office
PR: Ann's spouse beat her
so badly she had a broken
nose, bruised ribs, & a
black eye. Her children
were there and witnessed
the assault. They were so
upset, they tried to
protect her but she made
them go their room. She
went to ER. Police
arrested her husband.
This wasn't the first time
this happened. He drinks a
lot and has many anger
issues.

Summarize
confidential
information
rather than
recording it
in detail!

4/22/18 JSK: Office
PR: Ann
reported injuries
from physically
abusive husband.
The abuse was
reported to the
police by Ann.

Actual Example from Case Notes Somewhere, USA

Contact (office visit): Participant needs to repair her foot before she can go back to work. She stated she needs a very complicated foot surgery. This procedure requires her to have a steel rod put in through her big toe. Doctors will then break the bones in the heel of her foot and rebuild the heel bones around the rod that will be stuck through the big toe all the way back to the heel. She stated that estimated time out of work is set at 3 months.

Revised Case Note Excerpt:

10/4/2017 JSK: In person
(PR): Needs foot surgery. Surgery + healing =
3 mo.

Examples of “Participant Reports”

- **4/22/18 JSK: Email**

(PR): Lisa is enjoying her work experience site. She says she is learning a lot.

- **4/22/18 JSK: Phone**

(PR): Marcy called me. She reports being depressed about being unemployed. She said she is looking but can't find anything.

- **4/22/18/JSK: Text**

(PR): Vanessa says she is thinking about getting her GED. She says she took GED classes before but quit.

- **4/22/18/JSK: Office**

(PR): Patty called stating that she will not be in attendance today because her twins are sick.

Quiz

Which of these statements is a strong (PR) case note? (USE CHAT)

A. Julio said, “I don’t want to work outside. It gets hot, sometimes the weather is bad, and I don’t do dirty!”

(too long...get to the essence)

B. Julio states that he does not want an outdoor job.

(**this is the essence**)

C. Julio needs to open his mind and be willing to accept any job the company offers to get his foot into the door.

(this is not the participant’s perspective)



STEP 3: Case Manager Reports (CMR)

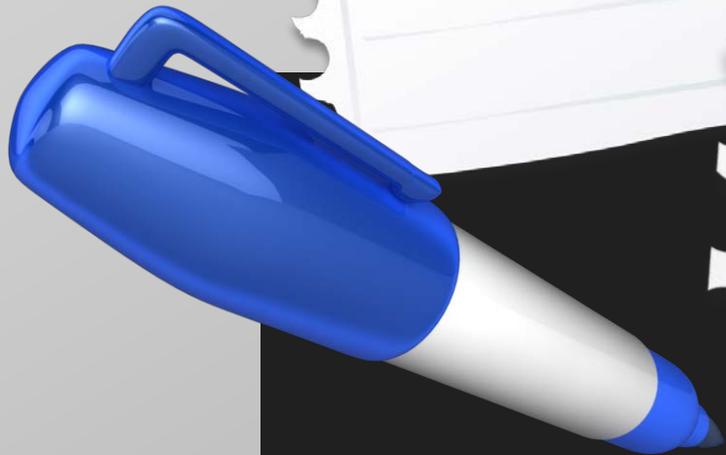
Write
what you
observe.

OBJECTIVE!!!
Enter what can
be seen, heard,
smelled, counted,
or measured.

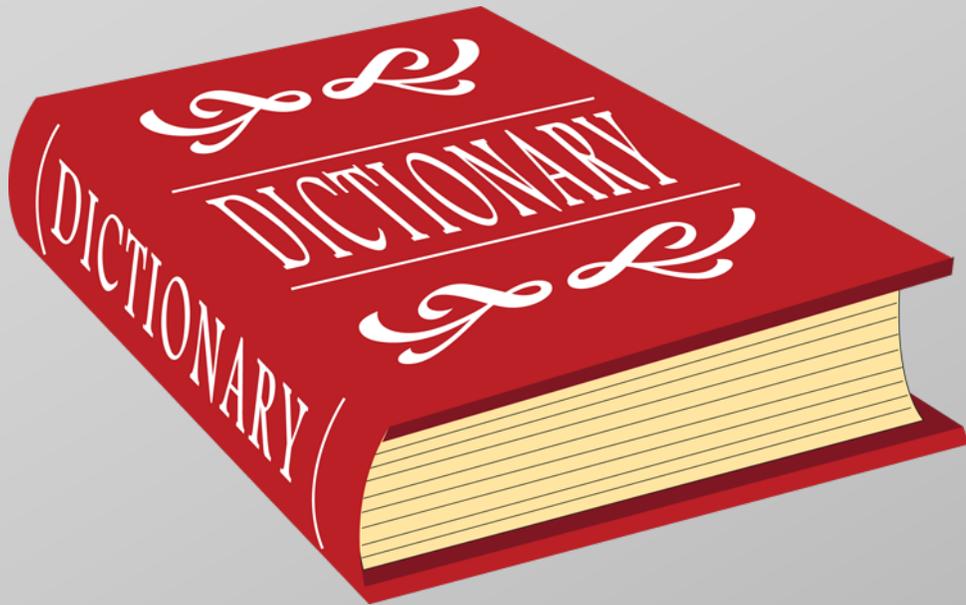
General
appearance,
affect, behavior,
participant's
responses to the
process.

Include test
scores

Objective
information
sent to/from
other providers



Subjective Versus Objective



Subjective information or writing is based on personal opinions, interpretations, points of view, emotions, and judgment.

- “I love the rain.”
- “Josie is not job ready.”
- “Paula has unrealistic expectations.”

Objective information or analysis is fact-based, measurable, and observable.

- “It is raining.”
- “Josie does not have child care set up. Her transportation is dependent on others giving her rides. To get a job, Josie will need to address these two issues.”
- “Paula is interested in being a pilot. She left school in the 9th grade and has one felony conviction.”

Case Manager Reports (CMR)

(CMR):

**Documents facts and objective data that the coach has gathered.
Notes on progress on planned steps and relevant observations.**

Example:

(CMR):

- Participant completed budget sheet from last meeting. Expenses exceed income by \$350 per month.
- Participant requested help with transportation and meets criteria for help.
 - Resume shows work experience in hospitality and warehousing.
 - Discussed “Customer Service” positions.

Document
facts and
objective data
gathered by
case manager.

Do not
label your
opinions or
judgments
as facts.

“Participant has a
drinking problem.”

“I smelled alcohol on
customer’s breath.
Observed slurred
speech and red eyes.”





Opinions Disguised as Facts.

“Motivation seems to be a problem for Selena. She just doesn’t follow through.”

**Avoid venting in case notes.
These are legal documents.**

Is the entry you just wrote worthy of presenting to a court of law?



“Participant is lying about what happened. She is manipulative.”



Never
enter
derogatory
or
pejorative
statements.

“Participant’s version of incident is different from the employer’s version.”

4/30/2017 JSK In person:

Tabitha will go to her pediatric office to pick up an application. I told her to go tomorrow due to the fact she was not dressed and the nail polish I have been asking her to take off for three weeks now is still half on her nails. She has to work on her presentation. Her hair needs to be washed and she needs to work on her grooming!

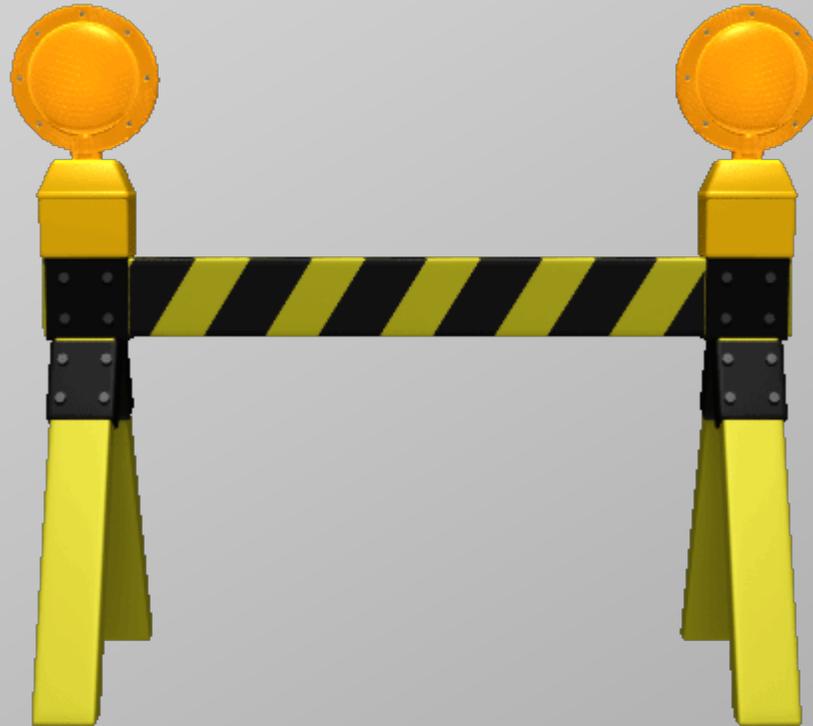
4/30/2017 JSK In person:

(PR): Tabitha states she will go to her pediatric office to pick up a job application.

(CMR): Discussed appropriate attire and presentation for in person job searching. We discussed how employers will make judgments and screen applicants based on the appearance of the job seeker.

Words to Avoid

- Abnormal
- Abusive
- Anxious
- Has an Attitude
- Dangerous
- Deceitful
- Delusional
- Demanding
- Immature
- Impulsive



- Irrational
- Unmotivated
- Overwhelmed
- Resistant
- Tactless
- Threatening
- Troubled
- Uncooperative
- Unfit
- Unqualified

Examples

- 
- Andrew scored high on his TABE test in both English and math.
 - Tom has completed his occupational skills training and has a resume, cover letter, and has completed his mock interviews. Those were reviewed by business services staff and passed.
 - During the appointment, Janet asked me how long this would take. She did not establish eye contact and pulled out her cell phone while I was asking her questions. When I asked her to put her cell phone away, she rolled her eyes and put it away.
-

- 
- Patty doesn't assume responsibility for all her absences in her OJT. The employer told her not to come back. She is furious.
 - Doris doesn't have a job but has smart phone, an iPad, and just got a dog. She has the money for those things but asked me for a gas card!
 - Donna still does not know what she wants to do. She dismisses anything she is qualified to do and wants to do stuff that she will never get.

Quiz

Which of these statements are you NOT qualified to make about a participant? Which of these statements is “**objective**?”

- A. Marquis suffers from depression.
- B. Marquis has unrealistic expectations.
- C. Marquis left school prior to graduation.



Step 4: Plan

S – Specific. Write out clear, concise steps.
M – Measurable. Makes sure there are measures of progress.
A – Achievable. Set challenging but achievable goals.
R – Relevant. Set action steps that are relevant to making forward progress.
T – Timely. The action step has a time frame.

Joel will

- Contact Hillsmere Elementary to identify community service opportunity. 4/26/18
- Identify survival jobs via Indeed.com that he would qualify for quickly. 4/26/18
- Attend 2-day workshop at Career Center on resume writing. 4/30/18
- Bring resume and job descriptions to next meeting to review. 5/2/18

Plan: Who
is doing
what by
when

The plan
would include
how the
presenting
issue will be
addressed.



“Participant said she heard about a full time job at a security company in the customer service department from her brother.”

Okay as “participant reports” but it isn’t a plan.

“Participant will talk to her brother tonight to get details on potential security job.”

This is a plan.

Actual case note planning statements

- **ORIGINAL PLAN STATEMENT:**

“She told me that she did complete the applications for a recruiter position and call center manager’s position as outlined by her plan but she has not heard anything from the position. She is not sure if the positions have been filled.”

- ★ **IMPROVED PLAN STATEMENT:**

- She will call interviewer to ask status of positions. 5/8

- **ORIGINAL PLAN STATEMENT:**

“She advised me that she wants to pursue a career in health care. She was enrolled in a CNA class years ago but was put out for excessive lateness. She advised that she does have high school diploma and she wants to attend college...The most important thing to her is to find a career in the medical field. Pharmacy tech, CNA, dental assistant, paralegal.”

- ★ **IMPROVED PLAN STATEMENT:**

Agreed to go to community college and get career/class information on each health care option. 5/20

Will use LMI information to record demand, wages, job descriptions of each option. 5/20



Great! I can see that she was going to talk to co-workers and her boss about more hours. I know exactly what to talk about and I won't miss a beat.

Tina wants more hours!

Focus on Job, Retention, and Earnings Increases.

- Tina agreed to tell her co-workers to call her if there is any day they cannot work. 6/10
- She agreed to tell her supervisor that she would be willing to work if anyone calls off. She plans to do both this week. 6/10

Anyone can step in and work with the participant when a "planning" format is used.

"Plans" make forward progress.





“We have a plan. Baby Steps. I am moving ahead.”

Plans are mini-goals.
Meeting goals gives sense of achievement.
Getting a sense of achievement is motivational.

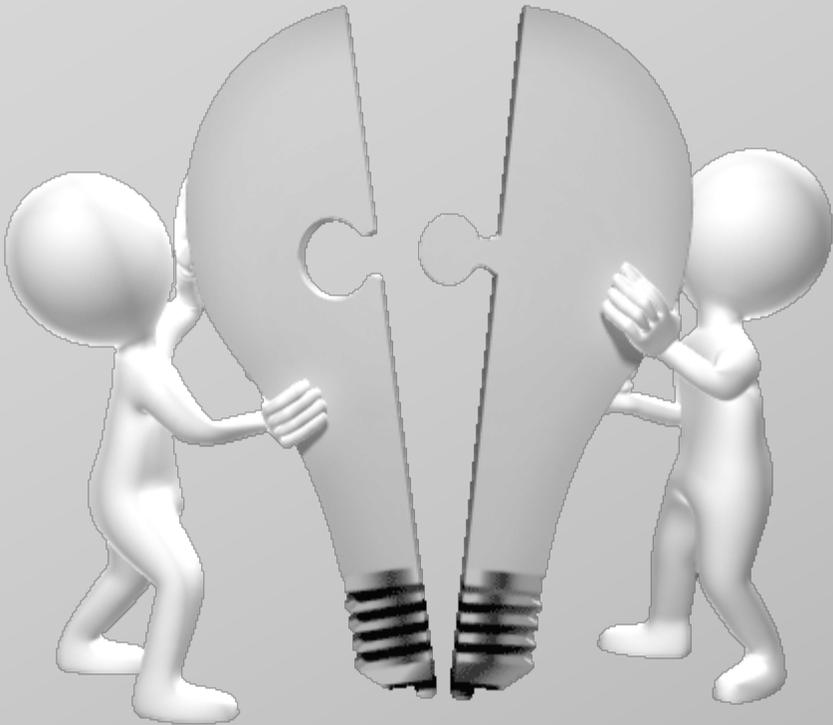
Quiz

Which of these statements is a strong **planning** statement?

- A. Tashawna needs a phone for her job but her phone was stolen.
- B. Tashawna's phone was stolen. She reported it to police but doubts anything will come of that. She called the phone company to get it shut off.
- C. Tashawna needs a phone for her job. She will ask her mother to borrow her phone for one week. When she gets paid, she will get a new phone.
- D. Tashawna told me that she was at a party and put her purse down. Someone stole her phone out of her purse. She needs a phone for her job. So she was upset and wondered who among her own friends would steal from her. She thinks she knows who it was but doesn't want to confront her because she isn't sure.



Putting it All Together



Shortened Version of Notes:

4/12 Jodie (in office)

PR: Behind on bills. Needs job.

CMR: No resume.

Needs CS (community service) to get his hrs until job obtained.

PLAN:

Joel will:

- Contact HES for CS position. 4/26
- Find survival job posts. Indeed.com. 4/26
- Attend 2-day workshop. 4/30
- Bring resume and postings for review. 5/2

Case Note: Before

- Office Visit: Ms. Kelly came into the office to update me with her progress. She remains employed with XYZ part-time. She provided copies of her check stubs. She told me that she loves the job and she is not going anywhere. Her employer recommended that she applies for a promotion with the engagement department. The rate of pay is \$12.00 an hour for this department, but she is waiting for the new department head to be chosen so that she can apply. She also learned that her employer pays for CNA training and she will consider training in the near future so she can advance within the company. Ms. Kelly states she is not sure how much the CNA position pays but will find out. Ms. Kelly is interested in opening a checking account. She told me she has not selected any institutions and wants more information about the banking industry. I provided her an information sheet from the financial workshop that we hosted. She reviewed the information and found it to be useful, especially the bank account. Ms. Kelly said she plans to review it and visit several banks.

Case Note: Before

- **Office Visit:** Ms. Kelly came into the office to update me with her progress. She remains employed with XYZ part-time. She provided copies of her check stubs. She told me that she loves the job and she is not going anywhere. Her employer recommended that she applies for a promotion with the enrollment department. The rate of pay is \$12.00 an hour for this department, but she is waiting for the new department head to be chosen so that she can apply. She also learned that her employer pays for CNA training and she will consider training in the near future so she can advance within the company. Ms. Kelly states she is not sure how much the CNA position pays but will find out. Ms. Kelly is interested in opening a checking account. She told me she has not selected any institutions and wants more information about the banking industry. I provided her an information sheet from the financial workshop that we hosted. She reviewed the information and found it to be useful, especially the bank account. Ms. Kelly said she plans to review it and visit several banks.

After: Organized into Case Note Format

EDIT	DATE	PARTICIPANT	NOTE TYPE/NOTE/FOLLOW-UPS & APPOINTMENTS
	4/12/18		<p>JSK Office visit</p> <p>PR: Remains employed. Loves job. Employer recommended she apply for promotion. (\$12/hr) Employer pays for CNA training for employees. Wants to open checking account.</p> <p>CMR: P. provided pay check stubs. C. put in file. C. provided "Easysteps to open a bank account." Set goal to open checking account.</p> <p>Plan: Will wait for new department head to be chosen before she applies for promotion. Date unknown. Discuss 4/22. Will find out CNA rate of pay by 4/22. Considering training. Will review banking worksheet. 4/22. Will visit banks and open account at one. 4/22. Will find out which CAN programs employer will pay for.</p> <p>Next appointment: 04/22/2017 10:00 A.M.</p>
	08/22/2017 03:16 PM		

Before

I received a completed employment verification form from Susie's employer. Susie has not signed it yet. She requested that it be mailed to her for her to complete her part. She states she remains employed. She has already provided copies of her check stubs. She will qualify for the full time employment incentive once the employment verification is signed by her and is received back in the office. She is reminded to forward copies of her check stubs to me as she receives them. Susie said that she will. Once we get all documents back then I will issue the incentive.

Date/Staff/Contact
Participant Reports
Case Manager Reports
Plan

Before



I received a completed employment verification form from Susie's employer. Susie has not signed it yet. She requested that it be mailed to her for her to complete her part. She states she remains employed. She has already provided copies of her check stubs. She will qualify for the full time employment incentive once the employment verification is signed by her and is received back in the office. She is reminded to forward copies of her check stubs to me as she receives them. Susie said that she will. Once we get all documents back then I will issue the incentive.

After

*Date Occurred: Duration:

*Date Entered: *By:

*Note Type: *Contact Type:



4/26/2018/JSK/Email

PR: Susie is still employed.

CMR: Received employer completed EVF and pay check stubs.
Once EVF is signed, Susie qualifies for FT incentive.

Plan: Coach will mail EVF form for signature. 6/13
Susie will return EVF signed and send paycheck stubs as she receives them.

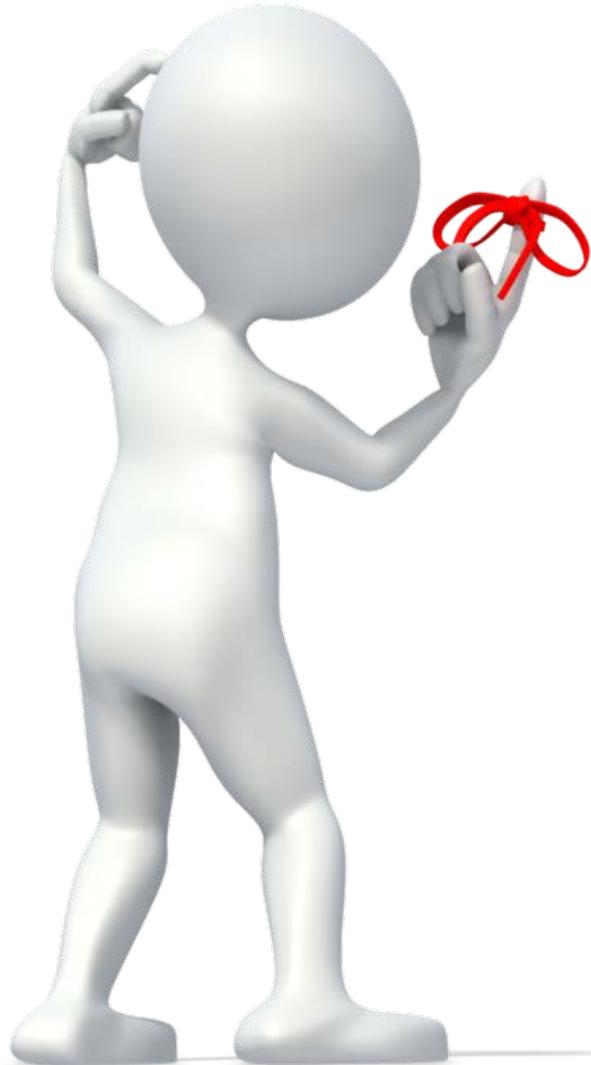
Susie will talk to supervisor about personnel evaluation to see what she will be evaluated on. 5/13

Tips!



- Before every session, the previous two or three notes should be opened and read.
- The coaching process should build one session on another to solve problems and to agree on the next steps.

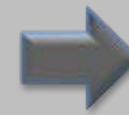
Tomorrow is a Fantasy!!



If you are not taking notes during a client session ...there is no way you will remember the content of the session. ...much less remembering it tomorrow.



In Summary



Agencies need a consistent format for communication among staff about what is going on with the participant.

Good case notes should result in improved quality of services by helping professionals.

The format used in this webinar allows for:

Clear/concise documentation

Represents client's concerns and outlook

Includes case manager's observations

Concludes with a plan