

Documentation Requirements

The subrecipient must create an individual case file for each participant to document services provided, activities assigned, and supportive services issued or referred. The subrecipient is responsible for keeping the case file current and for maintaining case files for all participants. Case files and referrals may require utilization of electronic methods (i.e. UniteUs) at CSDJFS' discretion. All records pursuant to subrecipients' agreements, including case files, are to be maintained in a confidential fashion and are to be securely retained for no less than a five (5) year period.

Case Files

Case files for **all CSDJFS providers** must contain a copy of all documents relevant to their service delivery, including:

- Application for Services
- Case File Document Checklist
- Correspondence related to eligibility or invoiced service
- Grievance procedure signed or acknowledged by the participant
- Copy of Program Rules and Expectations signed or acknowledged by the participant
- Copy of any Incident Report(s)
- Copy of Notice of Approval / Denial Form
- Copy of Prior Notice of Right to a State Hearing Form
- Case Notes
- Supporting documentation indicating status of participant's progress (e.g., grades, certificates, diploma, etc.)
- Collateral Contact Form
- Sign In/Out Sheet
- Any performance standard documents (e.g., participant surveys, pre/post-tests, assessment results)
- Self-Attestation Forms
- Subrecipient's program/services policies and procedures
- Signed Release of Information/Confidentiality Statement

If the subrecipient is distributing hard services (cash-related) benefits, incentives, or tangible goods, the following information shall also be recorded or maintained in the case file:

- Receipts detailing distribution of incentives/tangible goods distributed to the AG member
- Acknowledgement of Receipt Form signed and dated by the recipient

- Original Case Plan
- Itemized list of incentives and/or tangible goods distributed to participants to include names of recipients, date of receipt, cost per item, and total cost.

Case Plans

The applicant, together with the subrecipient, shall complete a case plan for each AG member who will be receiving comprehensive services. The case plan shall have clearly defined goals and objectives to be achieved resulting from participation in the applied services. Metrics should be included that will be used to determine achievement and the increments in which progress towards these goals/objectives will be measured. Goals should be developed with an eye towards the following:

- **Be Specific:** participants' goals should be clearly defined
- **Make it Measurable:** the goal needs to include an indicator of progress that will measure the goal's success
- **Must be Achievable:** participants will need the skills and tools to accomplish the goal
- **Stay Results-Focused:** goals should focus on results not actions
- **Time-bound:** the goal needs to specify the timeframe for reaching it from start to finish

Each objective should be clearly defined, measurable and specific to the related goal. Case plans shall be developed and signed by the participant within a timeframe that ensures expedient service delivery, consistent with the provider's Program Plan.

When transportation assistance is a service provided to obtain and/or maintain employment, the subrecipient shall incorporate a transportation plan into the participants' case plan. The transportation plan will consist of goals and/or objectives related to securing reliable transportation within a specified time frame. When community assistance is available, subrecipient shall supply the participants with community referrals to support transportation goals.

Case plans developed for adult participants shall be signed and dated by the participant and the subrecipient. Except for when services involve private conversation between a minor and the service provider, case plans developed for minor participants in the AG shall be signed by the adult applicant and the subrecipient. The subrecipient shall keep the original case plan in the case file and provide a copy to the participant.

Progress / Case Notes

For each participant receiving comprehensive supportive services under TANF, case notes are required. Case notes shall reflect the progress of the participant as related to the goals and objectives set forth in the participant's case plan. Case notes shall be entered in the case file at least once a week or as often as the participant receives subrecipient services. Case notes are written documentation that summarizes the participants' progress toward their case plan. Participants' case notes shall be updated each time there is contact with the participant or when the Subrecipient has made a collateral contact related to the participant's case. This should include documenting the start of services, non-compliance concerns, achievements, and whenever services have been terminated early or conclude as originally planned.

Case note entry shall be participant-specific, correspond with the invoicing period, and relate to the entries on the sign-in sheets and/or collateral contact logs. Failure to enter timely case notes may result in mandatory technical assistance provided by CSDJFS. This may be monitored via electronic method (i.e. UniteUs) by CSDJFS or its' designees.