



CASE MANAGEMENT FOR EFFECTIVE SERVICE DELIVERY

LOCAL INITIATIVES SUPPORT CORPORATION

REENTRY PROJECT GRANT

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Welcome...



Training Overview

- Case Management Overview
- Approaches to Case Management
- The Case Management Continuum
 - *Assessment & The Career Development Plan*
- Importance of Retention
- Exit & Follow-up Phase
- Documentation for Success



POLL

WHAT IS YOUR ROLE ON THE GRANT?

- 1) Program Manager or Coordinator
- 2) Case Manager
- 3) MIS/Data Entry
- 4) Intermediary Team Staff
- 5) Other



Case Management (CM) is a client-centered collaborative process of assessment, planning, facilitation, service coordination, evaluation, support and advocacy for options and services to meet an individual's workforce development needs and achieve cost-effective program outcomes.



Primary Goal of Case Management

To optimize client functioning by providing quality services in the most efficient and effective manner to individuals with multiple needs



Tools of the Case Manager



I) Assessments

II) Individual Service Strategy (ISS)

III) Case File & Case Notes

IV) MIS Systems & Reports

The Bi-Level CM Approach

*Bi-Level Case Management is a systematic approach to service delivery that identifies the roles and responsibilities of each member of the organization. It is participant driven policy development that is executed by line staff and management in tandem for the most effective programming.**

*Dorsey Consulting Services



Bi-level CM Roles

Administrative Roles:

- Developing an effective CM system
- Supporting staff
- Developing partnerships with outside agencies
- Keeping staff on track to achieve grant goals

Direct Service Roles:

- Guiding clients through CM system
- Supporting the clients
- Developing partnerships with clients
- Keeping clients on track to achieve individual program goals



Tri-Level CM & Roles

The **Tri-Level Approach** builds upon the Bi-Level Approach and includes:

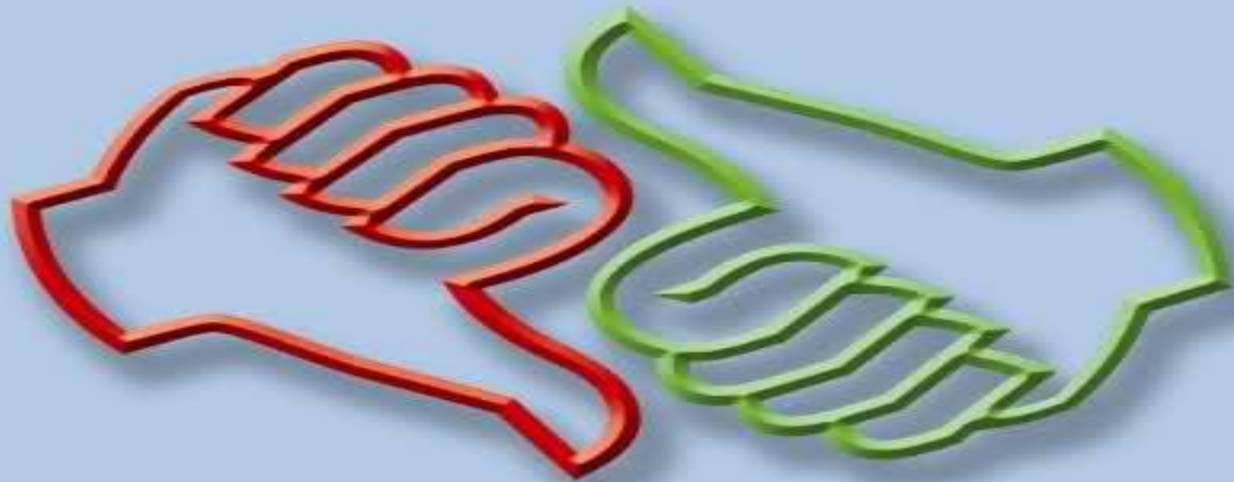
- I) Administrative Roles
- II) Front-Line Roles
- III) Client Roles**

Client Roles include:

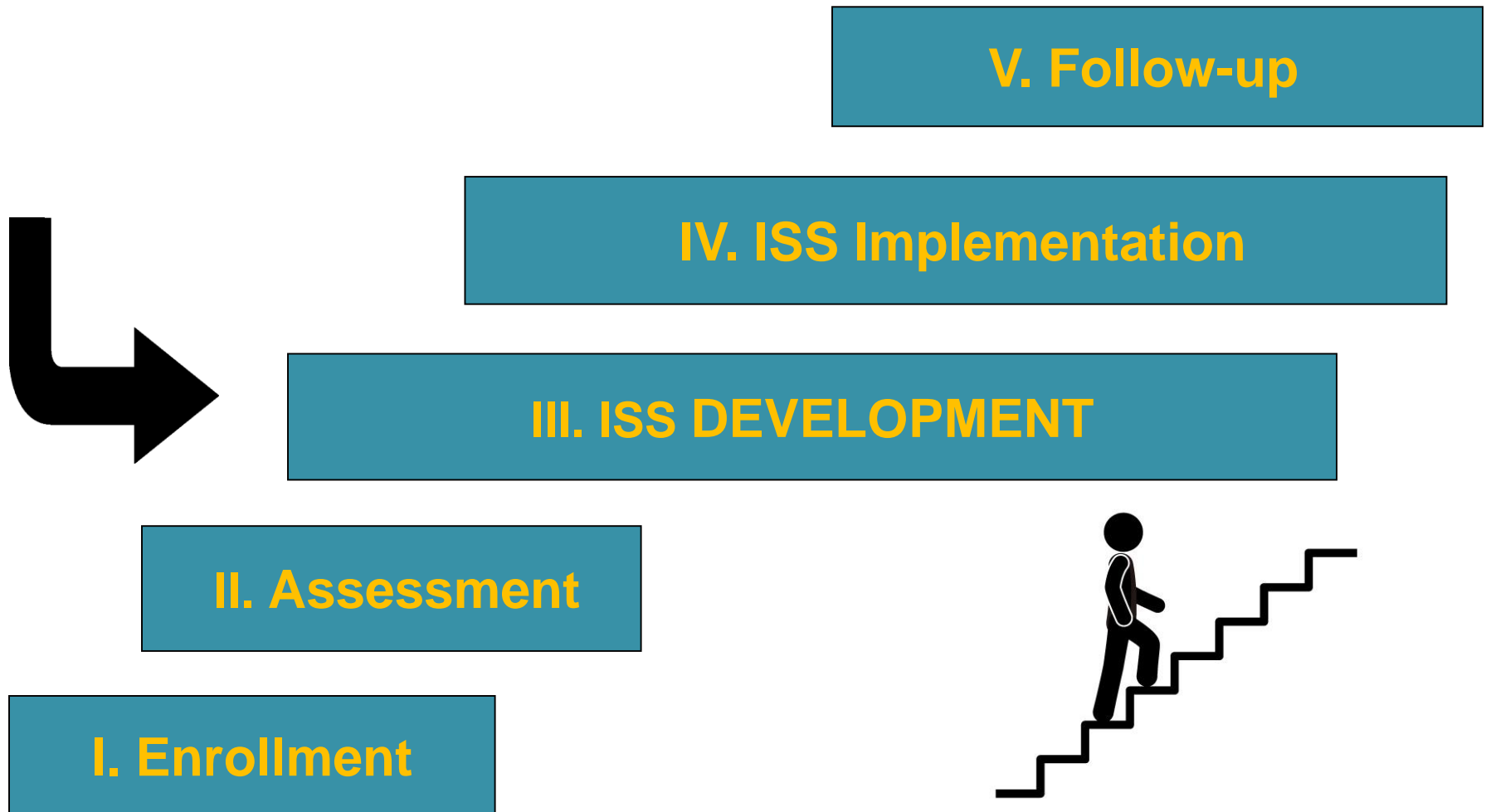
- Participating in the development of their Individual Service Plan (ISP)
- Taking initiative with attainment of the ISP goals
- Remaining active until program completion
- Partnering with other clients for ongoing peer support
- Communicating with the case manager and/or retention specialist throughout the follow-up period



COMPLAINTS
COMMENTS
COMPLIMENTS



The Case Management Continuum



POLL

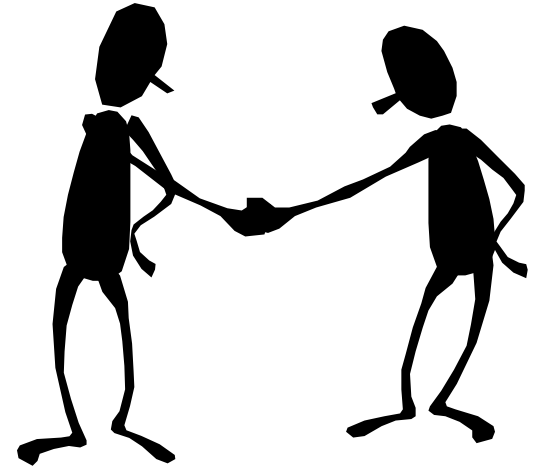
WHAT DO YOU THINK IS THE MOST IMPORTANT COMPONENT OF THE CASE MANAGEMENT CONTINUUM?

- 1) Enrollment
- 2) Assessment
- 3) ISS Development
- 4) ISS Implementation
- 5) Follow-Up
- 6) All of Them
- 7) Not Sure



I) Enrollment

- Establishing and maintaining a partnership with clients should be both the initial and sustaining focus and function of the case manager/client relationship
- The Orientation Process should address program requirements as well as client expectations and commitment level



II) Assessment

- Provides the foundation for case management process
- Affects the quality of service delivery
- Impacts successful intervention and problem-solving



Assessments

III) Individual Service Strategy (ISS) DEVELOPMENT

- A specific and individualized plan of action is the first tangible outcome of the assessment process.
- The Individual Service Strategy (ISS) serves as the primary guiding document for program service delivery (Intake through the Follow-Up Period).



The Individual Service Strategy (ISS)

For Clients, the ISS should be a living action plan designed to:

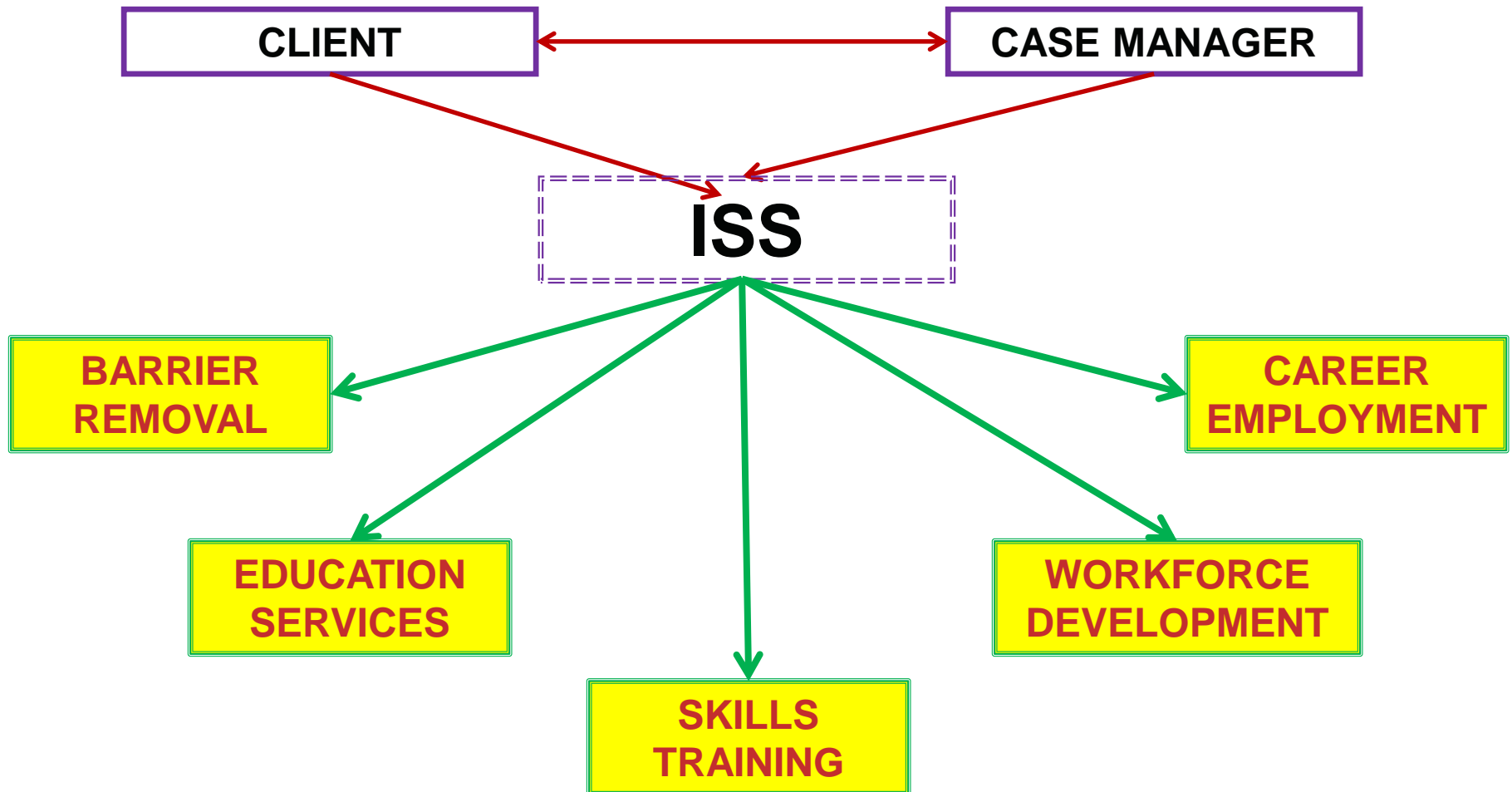
- Identify assets and barriers and the plan to move towards career success
- Articulate short- and long-term goals
- Provide a tracking mechanism
- Create the foundation for a life-long career development plan

The Individual Service Strategy (ISS)

For Programs, the ISS is an articulation of a specific program plan for a client that:

- IDs assets and barriers
- Articulates short- and long-term goals
- Outline services and service strategies that will be used to address needs and achieve goals
- Tracks and records progress

The Opportunity of the ISS



Individual Career Plan (ICP):

COMPONENTS:

- Services or activities to accomplish the short-term goals
- Timeframes for services and planned outcomes
- Responsibilities of the program and the client and others
- Signatures of the case manager and the client

ICP Elements/Assessment:

As well as barriers to goal achievement:

- Educational
- Skills
- Medical
- Personal
- Other

Best Practice: ICP Elements: Goals

Long-term goals for careers, employment, training or education, that are directly linked to the assessment process and the local labor market.

Measurable short-term goals (objectives) that directly correspond to the long term goals

Best Practice: ICP Elements: Goals

I. Goal areas may encompass:

- Continuing Education Goals
HS Diploma, GED, Post-2nd Education
- Occupational Skills Training Goals
Skills Certificates/Occupational Licenses

Best Practice: ICP Elements: Goals

II. Goal areas may encompass:

- Work-based Learning Goals:
Job Fairs, Career Days, Workplace Tours,
Internships, Work Experience,
Apprenticeships
- Career Pathway / Employment Goals
Initial job
Long term job placement

Sample ICP – ID and Assets

INDIVIDUAL CAREER PLAN (ICP)

Name: _____ Date: _____

Address: _____

Phone #: _____ Email: _____

Case Manager: _____

ASSETS (List):

Educational: _____

Credentials: _____

Experiences: _____

Other: _____

Sample ICP – Needs Assessment

NEEDS ASSESSMENT INFORMATION (Check all that apply):

Supportive Service (Needs Assessment):

- | | |
|---|--|
| <input type="checkbox"/> IDs | <input type="checkbox"/> Mental Health Treatment |
| <input type="checkbox"/> Transportation | <input type="checkbox"/> Substance Abuse Treatment |
| <input type="checkbox"/> Housing | <input type="checkbox"/> Child Support/Alimony |
| <input type="checkbox"/> Medical/Dental | <input type="checkbox"/> Disability Disclosure |
| <input type="checkbox"/> Childcare | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Other _____ | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Other _____ | <input type="checkbox"/> Other _____ |

Workforce Development (Career Assessment):

- ☐ Continuing Education (HS Diploma, GED, Post-2nd Ed)
Specify: _____
- ☐ Occupational Skills Training (Certification)
Specify: _____
- ☐ Workplace Learning (Internships, Summer Jobs, etc.)
Specify: _____
- ☐ Employment Placement (Unsubsidized Empl.)
Specify: _____
- ☐ Other: _____

(See Attached ISS for plan of action for addressing needs)

Sample ICP – Goals

GOALS

LONG-TERM CAREER GOAL: _____

OTHER GOALS:

Goal #1: _____

Objectives/Action Steps:

Person/Organization Responsible:

Due/Completion Date:

Goal #2: _____

Objectives/Action Steps:

Person/Organization Responsible:

Due Date:

Goal #3: _____

Objectives/Action Steps:

Person/Organization Responsible:

Due Date:

Goal #4: _____

Objectives/Action Steps:

Person/Organization Responsible:

Due Date:

Goal #5: _____

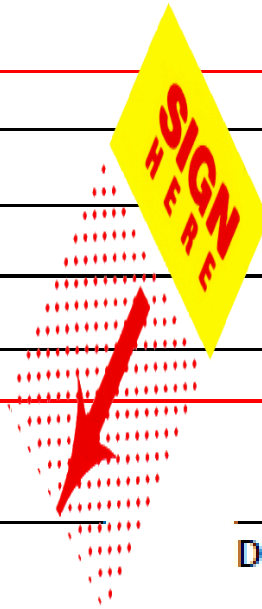
Objectives/Action Steps:

Person/Organization Responsible:

Due Date:

Sample ICP – Notes /Signatures /Review

Notes: _____



Client Signature _____ Date _____

Case Manager Signature _____ Date _____

ICP Review/Revision Dates:

Date: 1st _____ 2nd _____ 3rd _____ 4th _____

Initials: _____/_____/_____/_____

INDIVIDUAL CAREER PLAN (ICP)

Name: _____ Date: _____

Address: _____

Phone #: _____ Email: _____

Case Manager: _____

ASSETS (List):

Educational: _____

Credentials: _____

Experiences: _____

Other: _____

NEEDS ASSESSMENT INFORMATION (Check all that apply):

Supportive Service (Needs Assessment):

- | | |
|---|--|
| <input type="checkbox"/> IDs | <input type="checkbox"/> Mental Health Treatment |
| <input type="checkbox"/> Transportation | <input type="checkbox"/> Substance Abuse Treatment |
| <input type="checkbox"/> Housing | <input type="checkbox"/> Child Support/Alimony |
| <input type="checkbox"/> Medical/Dental | <input type="checkbox"/> Disability Disclosure |
| <input type="checkbox"/> Childcare | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Other _____ | <input type="checkbox"/> Other _____ |
| <input type="checkbox"/> Other _____ | <input type="checkbox"/> Other _____ |

Workforce Development (Career Assessment):

- | |
|--|
| <input type="checkbox"/> Continuing Education (HS Diploma, GED, Post-2 nd Ed) |
| Specify: _____ |
| <input type="checkbox"/> Occupational Skills Training (Certification) |
| Specify: _____ |
| <input type="checkbox"/> Workplace Learning (Internships, Summer Jobs, etc.) |
| Specify: _____ |
| <input type="checkbox"/> Employment Placement (Unsubsidized Empl.) |
| Specify: _____ |
| <input type="checkbox"/> Other: _____ |

(See Attached ISS for plan of action for addressing needs)

GOALS

LONG-TERM CAREER GOAL: _____

OTHER GOALS:

Goal #1: _____

<u>Objectives/Action Steps:</u>	<u>Person/Organization Responsible:</u>	<u>Due/Completion Date:</u>
---------------------------------	---	-----------------------------

_____	_____	_____
_____	_____	_____
_____	_____	_____

Goal #2: _____

<u>Objectives/Action Steps:</u>	<u>Person/Organization Responsible:</u>	<u>Due Date:</u>
---------------------------------	---	------------------

_____	_____	_____
_____	_____	_____
_____	_____	_____

INDIVIDUAL CAREER PLAN (ICP)

Name: _____

Goal #3: _____

Objectives/Action Steps:

Person/Organization Responsible:

Due Date:

Goal #4:

Objectives/Action Steps:

Person/Organization Responsible:

Due Date:

Goal #5:

Objectives/Action Steps:

Person/Organization Responsible:

Due Date:

Notes:

Client Signature _____

Date _____

Case Manager Signature _____

Date _____

ICP Review/Revision Dates:

Date: 1st _____ 2nd _____ 3rd _____ 4th _____

Initials: / / / /

IV) Individual Service Strategy (ISS/ICP) IMPLEMENTATION

- Implement a schedule for reassessing and modifying the initial goals and plans (should be part of the initial ISS).
- Ensure ISS is current and that the services being provided are according to the plan.
- Encourage the client to accept some responsibility for carrying out the ISS while providing an appropriate amount of support.

V) Follow-up

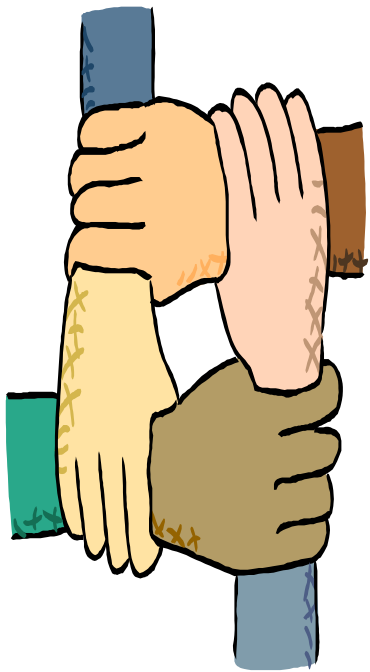
- If a partnership is established and maintained throughout the case management process, follow-up will be natural, personal, and can even be managed by the client.
- This is a period for solidifying progress and validating personal growth and accomplishments.





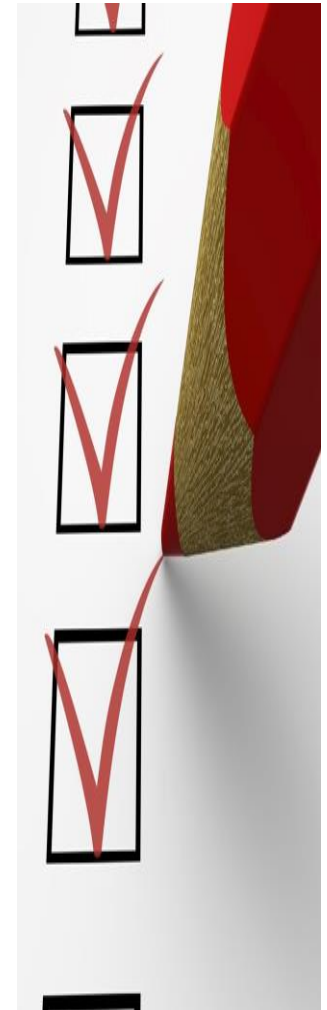
The Importance of Retention

Retention and Follow-Up Go “Hand in Hand”



- Retention and Follow-Up begin Day One
- Convey program expectations and provide clarity during Orientation
- Partner with clients and obtain “the right” contact information
- Maintain relationships with partner agencies
- Document program activities and outcomes
- Provide adequate follow-up to participants throughout active program period to ensure a *successful Follow-Up Period*

The “Follow-up” Phase



Determining When the Follow-Up Phase Begins



Follow-Up Begins...After EXIT

Defining the Successful “Exit”

- Met a major ISS Goal
- Attained an MIS Outcome
 - Started School/College
 - Returned/Remained in School 12 months
 - Obtained Employment
 - Obtained GED
 - Graduated from HS
- Completed Program
 - Cohort Graduation
 - Completed required length of time in program





Purpose of the Follow-Up Phase

- Job Retention for Older Youth
- School Retention for Younger Youth

Also:

- **Tracks progress made by participants in employment and/or education after training**
- Job Replacements
- Career Development
- Post-Secondary Support
- Assistance in securing better paying jobs
- Support to Employers and School Personnel





Examples of Follow-Up Services

- Maintain regular contact via phone, text or email
- Help to address work-related or school-related issues
- Provide referrals to supportive service agencies and other programs
- Assist in securing better paying jobs or career development
- Support in applying to college
- Offer leadership development activities
- Conduct retention workshops



Examples of Follow-Up Services

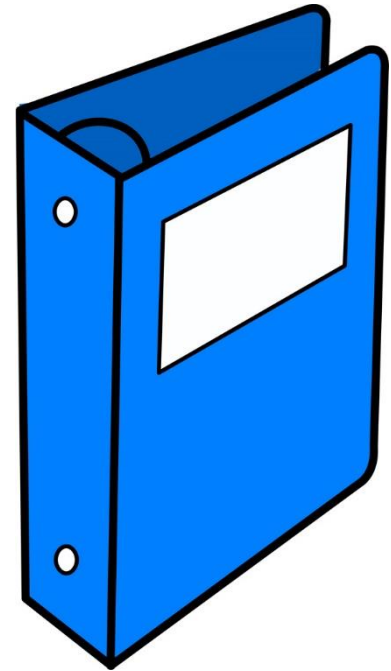
- Host career development activities
- Facilitate mentoring opportunities
- Hold alumni groups/job clubs
- Share information about job fairs
- Connect with service learning or community service activities
- Provide incentives for goal attainment
- Host achievement and recognition events





Documentation of Follow-Up Efforts and Activities

- Case Notes
- YO MIS
- Attendance Sheets
- Paystubs
- Certificates of Completion
- Employer Feedback Forms
- Mentor Reports
- Copy of GED Scores/HS Diploma
- **Follow-Up Form**





Documentation for Success

- I) Report MIS Data in a timely fashion
- II) Maintain Updated Case Files
- III) Write Quality Case Notes
- IV) Factor in Time to Complete Administrative Tasks



I) Reporting MIS Data

- Track client performance, grant outcomes and success
- The nature and complexity of problems are anecdotal until there is sufficient evidence of quantity and similarity.
- Social problems require systemic solutions or they will continually repeat and have the potential to escalate.



II) Maintaining Updated Case Files

- Should follow a standardized format
- Assist in accurate data entry
- House “proof documents”
- Help CM to track client status and success
- Ensure better follow-through when color-coded



III) Writing Quality Case Notes

- The Individual Service Strategy (ISS) provides an outline for the participant story.
- Quality notes are concise, specific, logical and organized.
- Accurate and timely documentation is essential.
- Follow-thru is not possible in absence of case notes.
- **All case note entries should include all services provided and conclude with the “next step”.**



IV) Factoring in Time to Complete Administrative Tasks:

- *Writing case notes*
- *Filing proof documents*
- *Completing data entry*
- *Scheduling appointments*
- *Making follow-up calls*





**"That's
all
folks!"**





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