CASE MANAGEMENT FOR EFFECTIVE SERVICE DELIVERY

LOCAL INITIATIVES SUPPORT CORPORATION

REENTRY PROJECT GRANT

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March 1, 2018
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
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
The Case Management Continuum

I. Enrollment

II. Assessment

III. ISS DEVELOPMENT

IV. ISS Implementation

V. Follow-up
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
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

CLIENT

CASE MANAGER

BARRIER REMOVAL

EDUCATION SERVICES

SKILLS TRAINING

WORKFORCE DEVELOPMENT

CAREER EMPLOYMENT

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-2\textsuperscript{nd} 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):

<table>
<thead>
<tr>
<th>Supportive Service (Needs Assessment):</th>
<th>Workforce Development (Career Assessment):</th>
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<tbody>
<tr>
<td>__ IDs</td>
<td>__ Continuing Education (HS Diploma, GED, Post-2&lt;sup&gt;nd&lt;/sup&gt; Ed)</td>
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<tr>
<td>__ Transportation</td>
<td>Specify: ________________________________</td>
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<tr>
<td>__ Housing</td>
<td>__ Occupational Skills Training (Certification)</td>
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<td>__ Medical/Dental</td>
<td>Specify: ________________________________</td>
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<tr>
<td>__ Childcare</td>
<td>__ Workplace Learning (Internships, Summer Jobs, etc.)</td>
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<td>__ Other</td>
<td>Specify: ________________________________</td>
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<tr>
<td>__ Other</td>
<td>__ Employment Placement (Unsubsidized Empl.)</td>
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<td>__ Other</td>
<td>Specify: ________________________________</td>
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<tr>
<td>__ Other</td>
<td>__ Other: ______________________________</td>
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</table>

*(See Attached ISS for plan of action for addressing needs)*
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: ________________________________
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 Services (Needs Assessment):
- ____ IDs
- ____ Mental Health Treatment
- ____ Transportation
- ____ Substance Abuse Treatment
- ____ Housing
- ____ Child Support/Alimony
- ____ Medical/Dental
- ____ Disability Disclosure
- ____ Childcare
- ____ Other: ______________________________
- ____ Other: ______________________________
- ____ 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 Employment)
  Specify: __________________________________________________________________________________________
- ____ Other: ______________________________

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

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: __________________________
# INDIVIDUAL CAREER PLAN (ICP)

**Name:**

**Goal #3:**

<table>
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<th>Objectives/Action Steps</th>
<th>Person/Organization Responsible</th>
<th>Due Date</th>
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**Goal #4:**

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**Goal #5:**

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**Notes:**

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**Client Signature**

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**Case Manager Signature**

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**ICP Review/Revision Dates:**

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<tr>
<th>Date</th>
<th>1st</th>
<th>2nd</th>
<th>3rd</th>
<th>4th</th>
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<tr>
<td>Initials</td>
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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!"