CASE MANAGEMENT FOR EFFECTIVE SERVICE DELIVERY
FACE FORWARD III – NEW GRANTEE ORIENTATION

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Today’s Session...

Case Management Overview
The Case Management Continuum
The Importance of Retention
Documentation for Success
Performance & Outcome Management
The Case Management Pipeline Tool
Definition

Case management is a client-centered, goal-oriented strategy for providing assessment-based services to meet individual and program goals.

Goal Achievement Empowers!!!
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.
The Bi-Level 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 Case Management Roles

Administrative Roles:
- Develops effective CM system
- Supports staff
- Develops partnerships with outside agencies
- Keeps staff on track to achieve grant goals

Direct Service Roles:
- Guides clients through CM system
- Supports the client
- Develops partnership with client
- Keeps the client on track to achieve individual program goals
Tools of the Case Manager

I) Assessments

II) The Service Plan/ICP

III) Case File

IV) MIS System & Reports

V) The Case Manager Pipeline Tool
The Case Management Continuum

I. Enrollment

II. Assessment

III. SERVICE PLAN/ICP DEVELOPMENT

IV. Service Plan/ICP Implementation

V. Follow-up (9-month)
I) Enrollment

Establishing and maintaining a partnership with participants should be both the initial and sustaining focus of the case manager/participant relationship.
I) Enrollment (cont.)

- Use a motivational approach and avoid an interrogatory approach.

- Give the participant the time and opportunity to tell you their story.

- Ask purposeful open-ended questions that encourage the participant to share their thinking and perspectives.
II) Assessment

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

• A specific and individualized plan of action is the first tangible outcome of the assessment process.

• The Individual Service Plan (ISP)/Individual Career Plan (ICP) serves as the primary guiding document for program service delivery (Intake thru Follow-Up Period).
The Individual Career Plan (ICP)

For Clients, an ICP 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

* Refer to ICP Webinar (9/10/15)
The Individual Career Plan (ICP)

For Programs, an ICP 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 ICP
The Sample ICP – ID and Assets

INDIVIDUAL CAREER PLAN (ICP)

Name: ___________________________     Date: _______________________

Address: __________________________________________________________

Phone #: _______________________     Email: __________________________

Case Manager: __________________________

________________________________________

ASSETS (List):

Educational: __________________________

________________________________________

Credentials: __________________________

________________________________________

Experiences: __________________________

________________________________________

Other: ________________________________
The Sample ICP – Needs Assessment

NEEDS ASSESSMENT INFORMATION (Check all that apply):

Supportive Service (Needs Assessment):

- IDs
- Transportation
- Housing
- Medical/Dental
- Childcare
- 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 Empl.)
  Specify:
- Other:

(See Attached ISS for plan of action for addressing needs)
# Sample ICP – Goals

**GOALS**

**LONG-TERM CAREER GOAL:**

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**OTHER GOALS:**

**Goal #1:**

- **Objectives/Action Steps:**
- **Person/Organization Responsible:**
- **Due/Completion Date:**

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**Goal #2:**

- **Objectives/Action Steps:**
- **Person/Organization Responsible:**
- **Due Date:**

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**Goal #3:**

- **Objectives/Action Steps:**
- **Person/Organization Responsible:**
- **Due Date:**

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**Goal #4:**

- **Objectives/Action Steps:**
- **Person/Organization Responsible:**
- **Due Date:**

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**Goal #5:**

- **Objectives/Action Steps:**
- **Person/Organization Responsible:**
- **Due Date:**

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Sample ICP – Notes/Signature Review

Notes: __________________________________________________________

_________________________________________________________________

_________________________________________________________________

_________________________________________________________________

_________________________________________________________________

_________________________________________________________________

_________________________________________________________________

_________________________________________________________________

Client Signature ________________________________________________ Date

_________________________________________________________________

Case Manager Signature __________________________________________ Date

_________________________________________________________________

ICP Review/Revision Dates:

Date: 1st__________ 2nd__________ 3rd__________ 4th__________

Initials: _____/_______  _____/_______  _____/_______  _____/_______
III) Service Planning (cont.)

For Effective Goal-Setting:

- Develop a set of sequenced, shorter-range, “bite-size” objectives, leading to the goal, and enabling the participant to achieve regular “wins”.

- Each objective should be a measurable, achievable outcome, rather than a description of process.

- Goals and objectives should be prioritized – On what does the client want to focus his/her attention the most?
IV) Service Plan Implementation

- Implement a schedule for reassessing and modifying the initial goals and plans should be part of the initial ICP.

- Ensure ICP is current and that the services being provided are according to the plan.

- Encourage the client to accept some responsibility for carrying out the ICP 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 begins Day I
- Convey expectations and provide clarity during Orientation
- Partner with clients & obtain “the right” contact information
- Sustain relationships with partner agencies
- Provide appropriate and adequate follow-up
- Document program activities and outcomes
Documentation

- **Reporting MIS Data:**
  - Tracks client performance, grant outcomes and overall success

- **Maintaining Updated Case Files:**
  - Include program “proof” documents
  - Serve as a roadmap and assists in MIS data entry

- **Ensuring Quality Case Note Documentation:**
  - Follow-thru is not possible in absence of case notes

- **Sharing Client Success:**
  - Success stories should highlight key benchmarks and outcomes
Outcome Management

- **Enrollment**: Do not over-enroll on the front-end; will not meet outcomes if lose track of clients

- **Services**: Assess well to know client’s potential and all needed services and supports

- **Job Placements**: Maximize credentials and placements early while client’s are motivated

- **Retention**: Provide quality service to maintain program participation and placements
The Case Manager’s Pipeline Tool

Allows the Case Manager/Supervisors:

- Track the progress of a caseload through the service “Pipeline”

- Monitor the progress of individual clients against key time-related benchmarks

- Generate a report and graphs to visually illustrate the status of a given caseload

* Refer to Webinar (10/13/15)
The Case Manager’s Pipeline Tool

The tool is built as an Excel file with 4 worksheets:

1. **Pipeline**: used to enter the client data, record key dates of services and score progress;

2. **Roll-Up Report**: a 1 page summary report that provides a snapshot of the caseload;

3. **Graphs**: 11 pie charts that provide key information about the caseload; and

4. **Action Codes**: a list of the codes and what action is needed when a particular code is displayed
The CM’s Tool – How It Works

The “Pipeline” Worksheet is:

• Where client data is Generated;
• Interactive: user enters data and “scores” are provided as to case status;
• Color coded to assist in easy identification of issue areas – three colors are used:
  – On Track (G)
  – Needs Attention (Y)
  – Needs Intervention (R)
# The CM’s Tool – Roll-Up Report

![Image](https://via.placeholder.com/150)

<table>
<thead>
<tr>
<th>Case Manager (Initials)</th>
<th>JEC</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Caseload</td>
<td>5</td>
</tr>
<tr>
<td>2. Caseload Under 18</td>
<td>3</td>
</tr>
<tr>
<td>3. Caseload 18 and Over</td>
<td>2</td>
</tr>
<tr>
<td>4. # In-School</td>
<td>2</td>
</tr>
<tr>
<td>5. # Out-of-School</td>
<td>3</td>
</tr>
<tr>
<td>6. Average Length (in Days) Participants Stay In Pipeline (of those Placed)</td>
<td>160.667</td>
</tr>
<tr>
<td>7. Average Length of Time (Days) Participants Have Been Waiting to Be Placed</td>
<td>20</td>
</tr>
<tr>
<td>8. Average Length of Time (Days) Placed Participants Waited to Be Placed</td>
<td>14</td>
</tr>
<tr>
<td>9. Average Length of Time (Days) Participants Are Currently In Post-Placement Follow Up</td>
<td>20</td>
</tr>
<tr>
<td>10. # of Individualized Plans Reviewed within Last 45 Days</td>
<td>2</td>
</tr>
<tr>
<td>11. # of Individualized Plans Reviewed within Last 46 - 90 Days</td>
<td>2</td>
</tr>
<tr>
<td>12. # of Individualized Plans Reviewed Over 90 Days Ago</td>
<td>1</td>
</tr>
<tr>
<td>13. # of Participants Who Have Attended Activities within Last 30 Days</td>
<td>2</td>
</tr>
<tr>
<td>14. # of Participants Who Have Attended Activities within Last 31 - 60 Days</td>
<td>2</td>
</tr>
<tr>
<td>15. # of Participants Who Have Attended Activities Over 60 Days Ago</td>
<td>1</td>
</tr>
<tr>
<td>16. # of Participants with 1 PPA Remaining to Complete</td>
<td>0</td>
</tr>
<tr>
<td>17. # with 2 PPAs Remaining to Complete</td>
<td>1</td>
</tr>
<tr>
<td>18. # with 3 or more PPAs Remaining to Complete</td>
<td>0</td>
</tr>
</tbody>
</table>
The CM’s Tool – Pie Charts

**Caseload Age Distribution**
- 2 (40%) under 18
- 3 (60%) 18 and over

**Distribution of Schooling**
- 2 (40%) in-school
- 3 (60%) out-of-school

**Individualized Plans Last Reviewed**
- 2 (40%)
- 1 (20%)

**Attendance Rates**
- 1 (20%)
- 3 (60%)

**Color Key**
- On Track (G)
- Needs Attention (Y)
- Needs Intervention (R)
THANK YOU!!!

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