

# THE CASE MANAGEMENT TOOLKIT

## Preparing Youth for a Lifetime of Success

EMPLOYMENT AND TRAINING ADMINISTRATION  
UNITED STATES DEPARTMENT OF LABOR



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For up-to-date information on youth resources and case management, visit our Youth Employment Communities of Practice (also listed in Appendix A):

- ▶ Youth Connections: <https://youth.workforcegps.org/>
- ▶ Summer Jobs for Youth: <https://youthsummerjobs.workforcegps.org/>
- ▶ Career Pathways: <https://careerpathways.workforcegps.org/>
- ▶ YouthBuild: <https://youthbuild.workforcegps.org/>
- ▶ Reentry Employment Opportunities: <https://reo.workforcegps.org/>
- ▶ Youth CareerConnect: <https://youthcareerconnect.workforcegps.org/>

## Introduction

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### *Preparing Youth for a Lifetime of Success*

This toolkit revises *Improving Demand-Driven Services and Performance: Toolkit for Effective Front-Line Services to Youth (2007)*. It reflects the Workforce Innovation and Opportunity Act (2014) and new resources available to the workforce system. The toolkit is directed to workforce development professionals and will assist others interested in developing the knowledge, skills, and aptitudes youth need to succeed in their career pathways.

Organizations providing workforce development services to youth must employ strategies to assist youth in developing the skills required for success in the current workplace and beyond. Youth service providers must understand the needs of youth, particularly those with barriers to employment, in order to increase program and participant success.

Case management provides the infrastructure for effective delivery of the services proven effective in identifying education, employment, and training needs, as well as personal barriers inhibiting workplace success. The case management approach ensures youth receive relevant services, and that programs document outcomes. Case management as an activity is not an end in itself; rather it is a means to an end – skills attainment, obtaining a credential, and/or employment and ultimately meaningful career pathway.

The toolkit uses language and terms commonly used in the workforce field, such as case manager, case management system, and case load. These terms could also apply to career coaches, life coaches, navigators, case coordinators and other professionals who support and guide youth. The toolkit is designed to be generic and universal in scope with resources transferable across all programs using a case management approach to assist youth in gaining self-sufficiency.

Successful case management initiatives incorporate a number of fairly standard steps allowing the process to be orderly and structured while also being youth-centered and flexible. These steps vary in priority, sequencing, time allotted and content based upon individual goals and needs. Many phases of the process are ongoing or regularly repeated rather than one-time activities.

These steps align with the chapters in this toolkit and include:

- 1) recruiting, intake and enrollment;
- 2) assessing skills and abilities and mutual planning to develop goals, objectives and a service strategy;
- 3) identifying labor market needs;
- 4) implementing the service plan and monitoring service delivery;
- 5) conducting follow-up;
- 6) tracking documentation, record-keeping and case notes;
- 7) evaluating and measuring outcomes; and
- 8) engaging employers.

**Note:** *this toolkit provides technical assistance to workforce development professionals and is not intended for use as a monitoring instrument.*

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## *Chapter One*

# **Recruitment, Intake and Enrollment**

Case managers may be responsible for multiple components of a case management system, such as recruitment, pre-screening, intake and enrollment, service strategy planning, implementation of the service strategy, follow-up, and evaluation. To assist case managers in successfully fulfilling each of these roles, the following sections provide information on recruiting in-school and out-of-school youth.

## **Recruitment**

Community outreach and recruitment represent the first contact youth may have with a community-based employment program. Developing a plan for outreach is the key to your growth and success.

### **WHY RECRUITING MAY BE NECESSARY**

Reasons youth may not participate in employment and training programs include: lack of information on training programs; inaccessible training locations; lack of immediate and tangible rewards; and skepticism that participation in an employment program will lead to concrete, long-term personal benefits. Organizations may have difficulty in recruiting youth due to a disconnect between young people's needs, interests, and desires, and the organizations' outreach and recruitment strategies. Workforce development professionals need an awareness of barriers that may be external, psychological, and cultural in nature.

Successful outreach and recruitment of youth draws on a range of strategies designed to appeal to potential participants. Youth most likely to benefit from educational and employment training programs are often the least likely to enroll for services based on flyers or public service announcements (PSAs). This is particularly true if the service delivery environment resembles training institutions in which they have experienced difficulties, such as public schools or the justice system.

## **RECRUITING OUT-OF-SCHOOL YOUTH**

Approaches organizations have found to be effective in recruiting out-of-school youth include:

- ▶ Staying connected on social media. Social media is a common method many youth use to communicate. It is important for an organization to develop a social media message and niche that appeals to youth as it can be critical to getting the message out and staying in touch with participants.
- ▶ Keeping the website updated with relevant resources and event information adds to the message. Some youth may be hesitant to call in; but may utilize resources online, read about success stories or come to an event.
- ▶ Using text messaging to remind youth of appointments and upcoming events.
- ▶ Asking youth to serve as recruiters. Actively involve youth program participants on the outreach and recruitment team. Encourage them to speak positively and honestly about their experience. In addition to serving as an effective recruiting strategy, engaging participants in outreach and recruitment promotes youth development. Recruitment can serve as a “work experience” and youth recruiters learn a sense of responsibility and increase their communication skills. Some organizations include youth recruiters as paid staff.
- ▶ Mastering the two minute “Elevator Speech.” While out in the community there may only be a short amount of time to share information or to “sell” your program. Maximizing the time by being prepared to make the pitch is crucial.
- ▶ Understanding that out-of-school youth can’t be recruited from a desk, it is important to go to the places where youth can be engaged in a conversation about the program, such as parks, recreation centers, shopping malls, health clinics, movie theatres, community-based and faith-based organizations, day labor agencies, unemployment offices, emergency food programs and homeless shelters.
- ▶ Scheduling recruitment activities during evening and weekend hours to accommodate varied schedules.
- ▶ Collaborating with partner agencies and organizations to assist in the recruitment and/or referral of youth isolated from the mainstream.



**Examples:**

- Ask faith-based organizations to include information about enrollment into the program during weekly service or communications with their community.
- Conduct presentations for local officials, such as high school principals, juvenile court judges, probation officers, counselors at drug treatment facilities, and other health care professionals working in the community.
- Request referrals for out-of-school youth from juvenile justice systems, agencies coordinating services for foster youth or youth on probation.
- Work with the juvenile court system to enroll youth who are required to do community service into the program.
- Ask the local health department and clinics serving families to refer pregnant and parenting young adults who may be eligible for program services.
- Set up information booths at youth centers and public housing developments.
- Arrange organization-sponsored sports and/or entertainment events designed to appeal to youth.
- Hold an open house reception and invite frontline and administrative staff from all partnering agencies to meet each other and learn about the services offered in the community.

**RECRUITING IN-SCHOOL YOUTH**

Recruitment of in-school youth should target those youth at risk of dropping out. Youth who may be at risk due to poor grades, illness, truancy, or other factors could benefit from intensive case management to help them stay in school, improve academically, and attain a high school diploma. Despite counseling and other school-based services, many of these youth have not made connections to any support programs on their own. For these youth, the workforce program offer a mix of activities meeting their needs, such as community service, tutoring, financial literacy, entrepreneurial training, assistance with postsecondary transition, alternative secondary school options, mentoring, guidance and counseling, summer employment, occupational learning, career and college-bound events, internships, job shadowing, and job placement.

The case manager can talk regularly with school counselors, guidance counselors, or dropout prevention staff asking them to identify youth who are at risk of dropping out. For example, students who are behind one or more grade levels, chronically absent, or are involved with gang-related activity may benefit from participation in the program. The case manager may then contact these students while they are at school or at their homes.

Recruiting youth in alternative education programs, such as in vocational or technical schools, or schools offering a non-traditional learning environment, is an additional strategy to reach eligible youth. Consider recruiting youth in group homes and detention centers, as well as youth on probation or in the foster care system.

## **Intake and Enrollment**

The purposes of intake and enrollment process usually include: 1) eligibility determination, 2) collection of core identification and demographic information, and 3) orientation to the youth program and expectations regarding participation.

Within some organizations, a pre-screening process occurs through personal appointments or group sessions and precedes the official intake and enrollment process.

Topics discussed during pre-screening sessions include the eligibility requirements for program services; what other resources are available if young people are ineligible; identification of what each young person expects on arrival; an overview of the purpose of the program; the services provided; expected results/outcomes, employment opportunities, methods for obtaining a credential, higher educational attainment; and a description of each person's responsibilities.

Intake should allow the young person time to relax and become comfortable before business starts. It may take some time for a satisfactory level of comfort to be established, but the young person will not begin to "talk for real" until rapport is established.

Some organizations have found it helpful to stress the following themes:

- ▶ Youth are treated as active partners and encouraged to keep in contact with their case manager. Using an agreed-upon schedule helps. Also, meeting around the achievement of goals such as keeping a job, earning a raise, or completing academic courses helps.

- ▶ A case manager will work with each young person to identify and deliver services to help achieve the goals set while guiding them as they work hard to attend classes and appointments and fulfill other program obligations.
- ▶ After achieving a major goal (job placement, entering college, or obtaining a high school equivalency) each young person should be encouraged to share with their case manager.

The case manager should not use the intake phase purely as a means to collect documents and fill out forms. Instead, the case manager should use intake as an opportunity to learn more about the young person and talk in detail about important issues. In this way, the case manager will have the chance to really learn who the young person is by listening for unspoken statements, observing body language, and being aware of feelings. By the conclusion of the intake process, the case manager will have learned much more than a set of facts.

## Chapter Two

# Assessment and Development of an Individual Service Strategy

Helping a young person identify his/her interests and goals, skills and abilities, and personal characteristics is an essential component in the development of an individual service strategy (ISS). This can have other names, such as Individualized Learning Plans, Individualized Development Plans or Individualized Graduation Plans. These documents may also have other names such as individual learning plan. It is essential that the program is designed so that services can be tailored to address the unique strengths, challenges, and needs of each participant. This section provides information and tools for assessing youth and supporting their on-going development towards reaching their own employment and training goals.

## Assessment

Assessment is the foundation of good planning and overall good case management. It is an ongoing extension of the intake process and guides the case manager's development of the ISS. It is not a one-time, up-front activity. This section will present a brief summary of: 1) the principles of effective assessment, 2) the components of a comprehensive objective assessment, 3) the case manager's role in the assessment process, 4) various types of informal and formal assessment tools, and 5) suggestions for engaging youth in the assessment process.

### PRINCIPLES OF EFFECTIVE ASSESSMENT

Key principles to guide the development of the assessment process are as follows:

- ▶ Develop an assessment strategy based on an understanding of the decision to be made and the person(s) being assessed.
- ▶ Use a comprehensive and exploratory approach.
- ▶ Approach the process from a strength-based viewpoint and not a deficit-based methodology.

- ▶ Make assessment an ongoing process of the ISS. Once a baseline is identified, measurable objectives can be established, and progress can be measured. Services can be revised and updated depending on progress results in a program activity.
- ▶ Use assessment procedures and instruments that are valid and reliable.
- ▶ Administer assessment instruments under conditions that do not adversely affect performance.
- ▶ Seek opportunities to embed authentic assessments within program activities.

## **COMPONENTS OF A COMPREHENSIVE OBJECTIVE ASSESSMENT**

A comprehensive objective assessment includes a review of the academic skill level, as well as the service needs and strengths. This includes considering the abilities, aptitudes, interests, and occupational and employability skill levels of each youth. Barriers to employment and training that will interfere with participation in the program should be assessed on a continual basis and supportive services provided as needed.

### **Strengths, Assets, Interests, Aptitudes, and Developmental Needs**

There are a variety of assessment methods and tools which can be used in this assessment process and include structured questioning during conversations, observation, self-assessment checklists, structured worksheets, Internet resources, and formal standardized tests.

### **Employability**

The assessment of work readiness and employability should focus on the skills and characteristics employers have identified as essential for success in the workplace.

### **Support Services**

Supportive services enable an individual to participate in workforce development activities. The services provided will vary by program and may include, but are not limited to:

- ▶ transportation;
- ▶ child care;
- ▶ assistance with housing;
- ▶ reasonable accommodations; and
- ▶ legal aid services.

**Career Goals**

It is critical that youth make well-informed choices, since service strategies are geared to the choice of occupational goal. A number of interest inventories have been developed which help youth identify their preferences for a particular activity, and then make suggestions about occupational clusters that most closely match those interests. The case manager can arrange for youth to explore these occupations, using O\*NET, or a state career information delivery system. The goal for both youth and the program is employment that leads to self-sufficiency, it is important the occupational goal relates to a need in the local labor market.

Youth can evaluate wage and salary progression, job duties, career paths, and projected demand for various career choices. It may be possible for youth to test out their preliminary choices through job shadowing opportunities, work experience, and internships. The ISS should be revised as occupational choices are refined.

**THE CASE MANAGER'S ROLE IN THE ASSESSMENT PROCESS**

Organizations serving youth need assessment tools that will assess the aptitudes, interests, basic skills, occupational skills, employability skills, and supportive services of each program participant. Staff using these instruments should be fully trained on their use and how to form goals, objectives, and service strategies with results.

**INFORMAL AND FORMAL ASSESSMENT TOOLS**

Two types of assessment can be used to obtain the required assessment information — informal and formal. Informal assessment tools include structured questioning, observation, and self-assessment checklists. These tools may be most helpful in obtaining information about dreams, goals, strengths, interests, fears, feelings, perceptions, family and peer interaction, prior work experience, barriers, and supportive services needed. The use of these tools may be less intimidating and more enjoyable than more formal assessments. However, the interpretation of the results may be more subjective and less reliable.

Formal assessments are tests that have been developed professionally according to scientific principles of test construction and have written instructions for administration and interpretation. Formal standardized assessment tools may be of greatest assistance in obtaining information regarding reading, math, and other academic skills; aptitudes; and work readiness and occupational skills.

An effective, comprehensive assessment process will include both informal and formal assessments. It will also be an on-going process with assessments during the intake process, embedded in activities and instruction, and administered after delivery of services to determine progress, results, and direction.

**Determine what assessments should be used.**

What assessments are available from other sources such as schools and partner agencies? How “current” is this information? What additional information does the individual need in order to make a good career decision? What types of assessments might be appropriate for this young person, given his/her comfort level with assessments, past experiences, level of decidedness, etc.? Will the assessment information be useful in developing a service plan? Even if a young person seems to have a clear career goal and know exactly what he/she wants to do, without having undergone some kind of structured assessment process, it’s possible that he/she has not made a good decision about the occupation. For example it is common for a young person to select a career because someone in their family or a teacher has told them that they would make a “good chef.” However, the youth will benefit from some additional self-assessment and research to determine if this career is truly a good fit.

**Select the instrument or instruments best suited to the youth’s needs.**

What is the education level of the youth? Does the youth have any disabilities that might affect the test administration or require accommodations? Does the individual have any language barriers? Is the youth a member of an ethnic group other than those the test was normed for?

Just as the career planning process should be customized depending on the young person’s individual needs, the assessment process should also be customized. Rather than making all young people take identical assessments, the best approach is to have several tools which can be used with different youth based on needs. Nevertheless, some selected, standardized, formal assessment tools may need to be used with all youth in the same program or project in order to measure common areas of need; meet program requirements; collect group data; measure individual progress, interim objectives and skill attainment and conduct project oversight.

**Prepare the young person for assessment.**

Discuss with him/her the assessment process and any concerns or issues the youth may have. Be sure to include:

- ▶ The name and type of instrument(s) to be administered
- ▶ The types of questions the instrument(s) will include
- ▶ What information the instrument(s) will, and will not, produce
- ▶ How long the assessment will take
- ▶ When and where the assessment will take place
- ▶ How long it will be before the results are available
- ▶ How the information collected will be of assistance to the young person

Administer the assessment and score the results or refer the young person to the individual or organization that will administer and score the test.

When the assessment is administered, care should be taken to ensure the assessment is administered in a uniform manner each time and the testing site is conducive to testing. Accommodations should also be made for persons with disabilities or language barriers.

**Interpret the results with the young person.**

The case manager should conduct the following activities: 1) remind the youth of the assessment that was taken, discuss how the individual felt about the assessment, and explain the results and how this is related to the young person's service plan; 2) review the assessment to gain a thorough understanding of the assessment, what it measures, and how it should be used in career decision-making prior to meeting with the youth; 3) consider in advance how to handle various issues that may come up during the session. For example, if a young person indicated he/she was interested in a particular occupation that the assessment says he/she will not be well suited for, how will this be explained to the young person? How can the career decision-making process for this young person be facilitated given this new information?

**Maintain assessment records.**

Include all assessment information in the youth's case file. The case manager should also be prepared to discuss with youth their concerns around assessment and the need for ongoing assessment as they continue through the career development process. In particular, youth should understand self-knowledge is an on-going process and they should plan to continually evaluate their own interests, abilities, work values, etc. and see how these fit in with occupational choices throughout their work lives. This ongoing assessment allows the case



manager an opportunity to evaluate how effective services are in meeting particular needs and ensuring flexibility in adapting service delivery strategies to a youth's needs.

## **INFORMAL ASSESSMENT TOOLS**

### **Structured Questioning During Conversations/Interviews**

By using questions designed to elicit as much information as possible and asking the questions in a friendly caring manner, case managers can conduct very thorough assessments. Examples of the types of questions that can be used effectively during assessment interviews and conversations are listed below.

#### **Closed Questions**

A closed question is generally more useful when seeking facts. Closed questions generally limit the amount of information received, and frequently overlook the feelings underlying facts.

**Example:** *How old are you?*

#### **Open Questions**

Open questions are more effective tools for gathering data on feelings, opinion, and perceptions. They provide a better "window" into a person's frame of reference.

**Statement questions** ask the young person to elaborate on facts and feelings. They encourage the youth to continue the conversation.

**Example:** *I'm concerned about what has been going on since our last visit. Tell me how you feel about seeking job counseling help?*

**Indirect questions** are the open-ended way of asking direct questions. They begin with who, what, when, where, and how. Structured appropriately, they encourage young people to expand on their answers.

**Examples:** *How do you think you could find information? What happened when you went to the community college? How do you think your friends will feel about you going to work?*

**Example questions** ask the young person to explain in more detail using an example. They can often help youth move from vague statements to more concrete ones.

**Example:** *Young Person: I just don't feel I'm good at anything. Case Manager: What kind of things do you have real difficulty with?*

**Plus/Minus questions** explore the positive and negative aspects of a situation. They can be used to help youth explore the pros and cons of a situation or decision.

**Examples:** *What do you think are the advantages and disadvantages of staying in school? What would be the pros and cons of placing your child in day care?*

**Why questions** have distinct disadvantages for the case manager because they frequently ask a person to justify him/herself. It often leads a young person to become defensive and resistant to sharing information.

**Example:** *Why didn't you keep your last appointment?*

A more effective way of asking the why question is to focus on the problem-solving aspect of the situation by using **how questions**.

**Example:** *How do you think we could set up your visits so you could come?*

Additional examples of effective questions:

**Work—**

How do you feel about not working now?

What would be the best things about having a job or having a better job? What problems make working difficult for you?

If you could have your ideal job, what would it look like? What did you like/dislike most about your previous jobs?

**Education—**

How do you feel about the amount of education you have right now?

How will your present level of education affect your ability to get the kind of jobs you want?

How would you feel about going back to school now? What is the biggest drawback to your returning to school? What kinds of training would interest you?

**Present Situation—**

How do you feel about your life right now? What do you like about your life now?

What bothers you most about your present situation?

**Future Situations—**

If you get the job, how will you go to it?

What courses do you need to take to be admitted into this college? After you have worked there a while, how can you get a promotion?

Who can help you care for your baby during the day?

**Self-Image—**

How do you see yourself at this point in your life?

What do you think are your greatest strengths? Weaknesses? What would you like to change about yourself?

**Change—**

What would you like to change most about your life now? If you could make one change now, what would it be?

What keeps you from making this change? What could help you make this change?

**Goals—**

Where do you see yourself a year from now? Five years from now?

If you could have a good life for yourself and your family, what would that look like?

Although questioning is a useful assessment tool, if used too frequently or for too long a period of time or to the exclusion of other methods, the questioning can sound like an interrogation and prevent the establishment of rapport. Combining questions with reflecting feeling statements creates a conversational effect and is more conducive to building a relationship and gathering information.

Reflecting feeling statements can be used by the case manager to help clarify and expand the feelings underlying facts, improve the accuracy of communication, and convey interest in understanding the young person's point of view (Ford, 2003). Some examples of phrases, words, and sentences in reflecting feeling statements include the following:

- ▶ Would you tell me a little more about...?
- ▶ Let me see if I understand...

- ▶ I'd be interested in hearing more about...
- ▶ It would help me understand if you would give me an example of...
- ▶ I'm curious to know more about...
- ▶ Tell me what you mean when....
- ▶ I wonder....

An example of a sequence of questions and reflecting feeling statements is as follows:

**Case Manager:** *Tell me how you feel about going back to school?* (Statement question)

**Young Person:** *A little nervous, I guess. I've been out of school for a long time and I wonder if I'm too old to go back.*

**Case Manager:** *You're feeling a little scared about trying school after you've been away from it for so long.* (Reflecting feeling statement)

**Young Person:** *Yeah. There'll probably be a bunch of young kids there who know everything and I'll feel out of place.*

**Case Manager:** *What kind of school do you think you'd be most comfortable in?* (Indirect question)

**Young Person:** *Maybe some place where there are people my age, with kids who'd understand what I'm going through.*

**Case Manager:** *You'd feel safe in a school where the people were more like you and understand your situation.* (Reflecting feeling statement)

Some case managers and organizations have found it helpful to standardize the questions asked during an assessment interview.

## **OBSERVATION**

Through careful observation during both one-on-one conversations and group activities, case managers can assess some aspects of work readiness and employability as well as barriers to employment and potential emergency crisis situations. For example, in terms of work readiness through the tool of observation, a case manager can determine how the young person:

- ▶ arrives? – punctually, late, wearing a watch

- ▶ dresses? – business appropriate, clean, etc.
- ▶ greets the case manager? – makes eye contact, shakes hand, respectful
- ▶ completes required forms? – hesitantly, precisely, sloppily
- ▶ takes any required test? – rushes, hesitates, concentrates, seems anxious
- ▶ talks with peers? – relaxed, friendly, belligerent, ill at ease

Also, look for clues for a participant who has additional service needs such as learning disabilities, behavioral health, including substance abuse and mental health or abuse.

### **ENGAGING YOUTH IN THE ASSESSMENT PROCESS**

Engaging youth in the assessment process is a challenging task for some case managers. Listed below are some suggestions that may help:

- ▶ Emphasize the purpose and value of assessment and how both the young person and the case manager will be able to use the information.
- ▶ Avoid the use of the word “test”.
- ▶ Present all assessment results positively, emphasizing strengths and presenting an action plan that can develop weaker areas.
- ▶ Vary the type of assessment tools used and, when possible, limit the use of any one type of tool to 30–45 minutes.

## **Developing an Individual Service Strategy (ISS)**

### **PURPOSE OF ISS PROCESS AND FORM**

The ISS should be developed, and updated as needed, based on the needs of each youth participant. The ISS should directly link the performance objectives for the program, identify career pathways that include education and employment goals, consider career planning and the results of the objective assessment and prescribe achievement objectives and services for the participant.

### **USING AN ISS FORM**

All information, including employment, education, personal development goals, short-term goals, and plans of action for achieving all goals should be recorded on an ISS form or online

application. The ISS form used by an agency should be standardized for all case managers. It may be used to summarize assessment results, goals, and activities across case managers. It doesn't need to record every detail of the process. Medical information should be kept separate from case notes. Supplemental forms may be used to gather background information.

### **INDIVIDUAL SERVICE STRATEGY CHECKLIST**

An ISS is a roadmap that assists a participant and his or her parent/legal guardian in exploring the postsecondary career and educational opportunities available to the participant, aligning course work and curriculum to apply to postsecondary institutions, securing financial aid, and ultimately entering the workforce.

An ISS should be seen as a process that enables participants to develop an understanding of themselves, explore careers, understand how postsecondary training can help them achieve their goals, and gain skills to become college and career ready. It creates a road map that will assist the participant to overcome employment barriers and lead her or him to the end goal.

### **CHARACTERISTICS OF AN ISS**

The ISS is a single part of the participant's record. Different organizations may include more information than others, but generally, background information is kept to a minimum in the ISS. The document should be concise enough to easily comprehend, but thorough and easy to amend. Many types of forms can be used effectively to develop a comprehensive ISS. The ISS form, regardless of the format, should include the following:

#### **ISS Features**

- ▶ Flexible, realistic, and broaden opportunities for participants.
- ▶ Developed in partnership with and mutually agreed upon by the participant and his or her parent/legal guardian, when appropriate.
- ▶ Assist participants with:
  - Applying to postsecondary institutions and exploring postsecondary career and educational opportunities.
  - Securing financial aid and learning about banking and financial literacy.

- Using labor market information to explore careers and enter the workforce.

### **ISS Actions**

- ▶ Review existing tools to determine whether participants have already completed certain steps involved in creating an ISS.
- ▶ Create a participant-driven process.
- ▶ Engage participants so that ISSs include participant-set goals and action steps.
- ▶ Focus on the whole person including strengths, needs, and goals.
- ▶ Include short-term and long-term goals.
- ▶ Detail resources and opportunities to participants that align with their ISSs.
- ▶ Provide online access to monitor participant progress and keep parents engaged (when appropriate).
- ▶ Use the ISS to help develop college and career readiness and personalize the learning experience.
- ▶ Assign a mentor or advisor to the participant who stays with them throughout their educational and career development.

### **Components**

- ▶ Identification Information. Name, contact information, and other identifiers.
- ▶ Summary of Objective Assessment Information. Career interests/aptitudes, occupational skills and work experiences, and developmental or other assessments that may affect services.
- ▶ Measurable Long-term Career Goals. Educational, employment, support, life skills, and participant development/leadership development and aspirations of one year or more.
- ▶ Measurable Short-Term Career Goals. Goals that lead to long-term career goals and include action steps with timelines and assigned roles.
- ▶ Services and Resources Needed. Tutoring, career awareness activities, supportive services, transportation, childcare, and other supportive services.

- ▶ **Individuals and Organizations.** Those providing internship, community engagement, mentoring, job shadowing, pre-apprenticeship, registered apprenticeship, and other opportunities to participants.
- ▶ **Follow-up and Check-in Services.** Depending on the program funding, follow-up services may include specific supports to maintain employment or remain in an education program or a commitment to stay in touch with the participant for data collection purposes.
- ▶ **Tasks and Responsibilities.** Clearly stated for participant, counselors, family members, and others.
- ▶ signatures of the case manager and the young person.

An ISS should always be viewed as a living document that changes over time. Ideally, the case manager should review the ISS with a young person regularly, in planned intervals, to record progress and outcomes, and note any changes in goals, plans, and timetables.

### **Goal-Setting**

Goal-setting is a key component in the development of an ISS, and the young person with whom the case manager is working should be actively involved in this goal-setting process from the very start. The process has several key steps.

Assessment results and career exploration that takes into account the local labor market should relate to the selection of long and short-term goals. Assessment results influence the types of short-term objectives that are created as building blocks toward the long-term goals. Therefore, the goal-setting process starts with a thorough review of the information obtained during the assessment process to answer the question, “Where is the person now?” “What assets can be built upon? What is needed to overcome barriers and achieve success?”

Then the young person and the case manager work as partners to negotiate mutual agreements in response to the question, “Where do you want to go?” Both need to agree on the career and academic goals resulting from this process.

The case manager works with the young person to define their career goal. Educational goals and goals that relate to the achievement of the career/education goal(s) should be identified. For each primary or long-term goal, there should be a set of sequenced, short-term goals or objectives leading to the long-term goal. This enables the youth to achieve regular “wins.” Each objective should be a measurable, achievable, time-limited, success-



oriented outcome rather than a description of the process. The organization should establish in advance what constitutes success.

Short-term goals need to be achievable within a short time period, such as a few weeks or months, so the youth can have a sense of accomplishment. They consist of a time-frame, an outcome, and a measure of successful attainment. Therefore, simply participating in an activity is not an adequate goal.

Some examples of how long-term goals are related to short-term goals are as follows:

**Example #1:**

***Long-term employment goal*** – Become a Registered Nurse

***Short-term goals—***

- ▶ Successfully complete 12-week training and obtain Certified Nursing Assistant (CNA) certificate
- ▶ Apply and gain admission to community college within 3 months
- ▶ Complete summer study skills class by September
- ▶ Complete writing skills class in three weeks
- ▶ Complete Introduction to Nursing course at community college within 6 months

***Activities/Services—***

- ▶ Register/attend CNA class
- ▶ Job shadow CNAs in nursing home, home health care agency
- ▶ Child care provided during class sessions and job shadow days

**Example #2:**

***Long-term goal*** – Enter and complete college

***Short-term goal—***

- ▶ Increase reading score by one grade level in eight weeks

***Activity/Service—***

- ▶ Tutoring two hours a day, four days a week

After identifying the long-term and short-term goals, the goals and objectives should be time-sequenced and prioritized. What does the person want to focus his/her attention on the most? The case manager must be aware of what the youth can tackle, taking into account any other activities or responsibilities that youth may have. Together, they can devise an action plan that focuses on the “bite-size” pieces that can be accomplished.

Once goals have been established, the young person and the case manager can determine who does what and which persons or institutions need to be involved. At this point, the programs and services offered by the case manager’s organization can be fit into the youth’s service plan and referrals can be made as appropriate to other partnering organizations for needed services not available through the case manager’s organization.

Finally, to demonstrate understanding and ownership, the young person should restate the goals developed clearly in his/her own words.

Within an agency or program, short and long-term goals need to be sufficiently uniform that they carry a common meaning for all staff and can be aggregated for statistical analysis and establish a standard of value.

## **GOAL(S)**

The process of mutually developing, implementing, and revising an ISS with a young person should be viewed as an important part of the youth development process. By using the planned vs. accomplished aspects of the ISS process in a continuous manner, the case manager and the young person have a framework to identify, monitor, and adjust the work that is being accomplished. The ISS process also provides a means of enabling the young person to take responsibility for and actively participate in accomplishing goals and objectives. This mutual planning process enables the young person to develop individual ownership of the plan and helps them learn that the choices they make and their actions can lead directly to specific outcomes. Valuable skills in goal setting and planning can also be developed.

Case planning is not a new concept in direct service delivery. However, a close look at the processes of developing the case plan, the Individual Service Strategy (ISS), indicates that they are often more perfunctory than dynamic. It’s important that what gets produced is a carefully crafted strategy that outlines an approach to help the individual get from where they are to where they want to be. Plans should not only reflect the services the agency has to offer, they should include other needed services and plans to partner or refer the participant to other organizations if needed. Case managers are the primary case plan guide

or monitor, leading participants through activities and services, as opposed to coaching them. This allows youth to negotiate the systems, demonstrating for themselves and others their capacity and the specific areas around which they need assistance. Agencies should show patience and remain flexible. When performance outcomes occur, results will be enduring because participants are self-motivated.

Case managers should revisit the assessment and planning process as often as needed, and should emphasize partnership development, goal identification, clarification, and ownership. Every effort should be made to encourage youth to invest in the partnership that will help them to reach their goals and experience their personal capacity.

## Chapter Three

# Meeting the Needs of the Labor Market

It is essential that the case manager and agency ensure the youth are being prepared for jobs that exist in the local area. Workforce information constitutes an economic analysis of a geographical area that provides insight into the local labor market and ensures trained individuals have readily available employment opportunities.

Who employs who, where and for what wages – is an important piece of the puzzle for people involved in youth employment training programs.

Economic information can help staff and youth identify good career pathways and the training necessary, find out how much different occupations pay, understand the cost of living in a specific area, and locate the employers and employment opportunities in their community.

For employers, this information tracks local and national industry trends, what affects the availability and quality of workers, and assists them in making decisions about where and how to invest training resources. It has an impact on wage and benefits levels and plays a big part in determining where new or expanded businesses will locate.

Community planners use economic analysis to monitor the quality of the local labor pool and workforce needs, market area resources to attract new businesses, identify economic development opportunities and needs, and develop or support effective education, training, and workforce strategies.

## Roles and Responsibilities of Case Managers

Case managers do not need to be an economist to use this information with youth. Below are practical strategies for using employment analysis to enhance the case management process:

- ▶ Using data to better understand the local economic landscape provides an opportunity to engage and recruit employers, particularly those in high-growth industries. These partnerships can result in increased internships, opportunities for work-based learning, apprenticeships and future job placements for youth.

- ▶ Developing an economic “footprint” of your community utilizing labor market information will assist case managers in enhancing career assessment, selecting the appropriate training, and promoting better job/career opportunities for youth.

Case managers need to access current employment trends, projected training requirements and cost, wage information, and new emerging fields in the local area. Through the exploration of workforce information, youth can get a realistic view of the opportunities located in a community, identify viable career paths, and gain an understanding of the cost of living within a particular area and how salaries compare in different localities.

Although national data provides an overall view of the economy, state and local data will prove most useful to case managers when working with youth. The local workforce board or economic development council has most likely developed the information needed for workforce development professionals to understand employer needs; what skill sets, training, and credentials are required to meet those needs; and the occupational outlook of any particular field. This material can be incorporated into the overall program design.

By investigating this current economic information, youth can explore career pathways, broadening an interest in a variety of careers, as well as becoming more knowledgeable about the type of training involved. Youth often underestimate the opportunities in their own region and the potential for growth with area employers. Case managers can use a regional analysis to provide youth information on industries located within a particular area, including projections for future growth.

Case managers should be aware that labor market information is not perfect and is not the only way to gauge economic opportunities. Statistical projections are usually based on data that is at least a year old, sometimes four or five years old. In a volatile job market, a major event or political policy shift means information could quickly change. However, through the use of past data, information gleaned can be useful in predicting future trends. Good relationships with area employers, large and small, private and public, can provide insights into the community that cannot be gained solely through the use of statistical analysis.

Visit the Community of Practice on Labor Market Information for more resources at:

<https://lmi.workforcegps.org/>.

## *Chapter Four*

# **Implementing the Case Plan/Individual Service Strategy (ISS)**

Building connections between the young person and various organizations and, among the organizations themselves, is a way of linking services to the individual service strategy. There are several broad categories of activities that will bring results, such as:

- ▶ facilitating communication;
- ▶ identifying appropriate services;
- ▶ convening key service providers;
- ▶ connecting youth with services;
- ▶ preparing the young person;
- ▶ following up after the appointment.

## **ISS Activities**

### **FACILITATING COMMUNICATION**

The case manager serves as the central point of contact, informing the various players of their roles in the case plan, giving them appropriate background information, and being aware of changes in the ISS when they occur. There needs to be an awareness of the service(s) the youth is referred to and continual knowledge of how well a referred youth is doing.

### **IDENTIFYING APPROPRIATE SERVICES**

The ISS, and its identified goals, should govern which services a youth gets. The case manager acts as an advocate for the youth to ensure he or she receives those services that address that youth's unique needs.

To access the full array of services available in a community, the case manager's organization should identify community services meeting criteria such as accessibility and effectiveness. No-cost agreements, memorandums of understanding and financial contracts for provision of services can be negotiated and executed.

Procedures should be designed to expedite communications, make/obtain referrals, facilitate co-enrollment, conduct follow-up, share case files/data, understand an organization's confidentiality rules, and provide information for reporting and evaluation.

The case manager needs to have a comprehensive picture of what is available within the organization or within the community—and the nature and quality of these services. Case managers can visit other service providers and receive an orientation on each service available to their program participants.

The case manager's role in identifying needed services is particularly vital because the case manager's cross-organizational perspective provides the opportunity to have a comprehensive picture of the work of all organizations with the same young person and identify any deficiencies in the services provided.

Although this toolkit is designed primarily for front-line case managers, agency administrators also play a critical role by designing youth programs that enable youth to accomplish their ISS goals. This includes identifying, or making available, a variety of career, employment, educational, and other developmental options.

### **CONVENING KEY SERVICE PROVIDERS**

The case manager serves as a bridge between the program and other agencies and organizations that serve youth (i.e. the school system, the courts, the foster care system, vocational rehabilitation). Using a "case conference" approach when needed and appropriate, the case manager consults individuals involved in the young person's ISS, including the young person and his/her family.

### **CONNECTING YOUTH WITH SERVICES**

The case manager should give the young person every opportunity to demonstrate initiative and develop competence in accessing services, while matching expectations to the skills and readiness of the individual. The selection of high-support versus low-support referrals should be made on a youth-by-youth basis.

One common mistake when referring youth for additional services is providing the name of an organization, a contact person, and a phone number and then leaving it to a young person to make contact with that organization or individual. During the early stages of a case management relationship, this approach rarely works. A more effective approach is to determine how much support the young person needs in scheduling referral appointments. For example:

- ▶ In a high-support situation, a case manager may make all arrangements, accompany the young person to whatever appointments are necessary for the referral to “stick”, and provide a lot of support to get the young person comfortably settled in the service for which there has been a “referral.”
- ▶ In another high-support situation, the case manager may make a phone call, with the youth’s permission, summarize the youth’s situation to a known contact person at the other organization, and then put the young person on the phone to schedule the appointment.
- ▶ In another case with lessening support (“middle support”), the case manager may prepare the young person to handle an entire call, and then have the youth place the call while in the case manager’s office.
- ▶ In a lower support situation, the case manager may say: “Here is the name and phone number of the person we talked about. Call her tomorrow.” Then follow-up with the youth during early business hours to see if the call has been made and what the outcome was.

## **PREPARING THE YOUNG PERSON**

Young people who need high support or middle support benefit from pre-referral preparation.

Prior to linking such a young person with a selected service, a case manager can minimize any referral-related anxiety by “keeping things personal.” Remarks such as “I’ve got a friend who I want to introduce you to who can work with us to get you what you want.” Or, “I’m going to set you up with an appointment at Agency X. I’ve used them before, and I really recommend them. They’ve done a good job handling issues similar to yours with several other young people I work with” can give youth confidence in the referral.

The case manager may also find it helpful to describe what will probably happen when the young person first visits the organization providing a particular service. This step reduces fear of the unknown, provides a chance for the youth to express feelings of anxiety or frustration, and allows time to identify and consider any difficult issues related to the linkage.

The case manager can review 1) questions that might be asked during the first contact appointment, 2) forms of identification that might be required and other written material the youth should take to the appointment, and 3) outcomes that might be expected from the appointment.

When an appointment date and time have been set, the case manager should make sure the young person writes it down, enters it into their cell phone as a reminder, and also enters it in the ISS rather than relying on memory. It may also be helpful to discuss how the young person



will get to the appointment on time and where in the building the contact person is located. Finally, the case manager should ask the youth to call him/her immediately after the appointment and to describe how it went.

In high support situations, the case manager may want to contact the young person on the day before the appointment to provide a reminder about the appointment and also address any last-minute misgivings.

## **FOLLOWING UP AFTER THE APPOINTMENT**

After the appointment, the case manager should call both the young person and the organizational contact. By calling both individuals, the case manager can:

- ▶ Confirm the young person actually showed up at the appointment.
- ▶ Identify what happened at the appointment viewed through the eyes of both parties, if confidentiality is not an issue and the youth agrees to this exchange of information. (Standard waiver forms signed by each youth/or parent are a good idea to ensure appropriate information can be shared by multiple organizations and individuals working with a youth. Procedures need to be in place to ensure no violations of individual privacy rights, e.g. protection of medical information, can occur.)
- ▶ Determine the young person's next steps and whether the case manager's support is needed in the implementation of those steps or whether a revision of the case plan is required.
- ▶ Take corrective action (such as rescheduling) if the young person did not attend the appointment as scheduled.

The case manager may find it helpful to enter on a desk calendar the names of youths scheduled for appointments on a particular day (youth's name, organization and contact, etc.). There are also several software programs available for managing contacts and appointments.

## **MONITORING SERVICES**

Once a young person has been successfully enrolled into a program or service, the case manager monitors service delivery to:

- ▶ Assure needed services are being provided.
- ▶ Verify the service plan is being properly carried out and to what effect.
- ▶ Assist with problems that come up.
- ▶ Maintain the youth/case manager relationship.

- ▶ Provide encouragement and nurture the youth's motivation to achieve the goals set.

This monitoring should focus on both the service provider and the young person. When monitoring the delivery of services, a case manager can be guided by three questions:

1. Is the service called for by the ISS being delivered?
2. Is the service having the desired result?
3. Does the service seem to be sufficient?

The conclusions reached through monitoring may require a modification of the Individual Service Strategy (ISS).

## **MOTIVATING AND ENCOURAGING**

Motivation is a need or desire that causes us to act. Everyone brings some motivation with them. However, motivation is complex and there may be several motives for any one action or behavior. A case manager's role in nurturing motivation to change and achieve goals includes the following:

- ▶ Identifying the motivators youth bring with them.
- ▶ Identifying the costs of change – what is keeping the young person with the status quo.
- ▶ Showing youth how their motivations can be met through a specific program.
- ▶ Preparing and helping youth cope with the costs of change.
- ▶ Using external motivators to strengthen internal motivators.
- ▶ Structuring successful experiences.
- ▶ Praising successes, especially small ones.
- ▶ Redefining failures as partial successes.
- ▶ Constantly reinforcing original motivators.
- ▶ Providing a support network.

### **Recognition System**

A recognition system designed and implemented by the agency and/or the case manager is a particularly essential key to success. To spur achievement, a recognition system must be:

- ▶ Measurable – acknowledge tangible behaviors or achievements.
- ▶ Specific – identify what the reward is and how to get it.

- ▶ Built around a desirable reward – not necessarily something expensive, but something that is inherently valued or difficult to get otherwise.
- ▶ Consistent – anyone and everyone who achieves the benchmark, gets the reward.
- ▶ Frequent – offering lots of small rewards for the achievement of small steps leading to a specific outcome or achievement rather than one large reward after goal achievement.

Some possible milestones for recognition include perfect attendance, demonstrated improvement, positive attitude, obtaining a high school equivalency, completion of training, and student of the week/month.

Examples of tangible recognition symbols include a certificate, personal note, card, letter of reference to employer, participation in a graduation ceremony, and a “Wall of Fame” bulletin board in a prominent area within the organization with photographs, names and achievements posted. Properly designed and implemented incentive systems can be a powerful motivator.

## Special Challenges

Case managers will encounter many special challenges when implementing and monitoring the Individual Service Strategy. Three of those special challenges may be 1) making a demand for change and growth, 2) balancing firmness with empathy, and 3) managing anger.

### **MAKING A DEMAND FOR CHANGE AND GROWTH**

People are naturally ambivalent, a part of them wants to change and grow, solve problems and address any barriers to goal achievement; and another side is pulling back from what is likely to be perceived as a difficult process. Changing often means discussing painful subjects, experiencing difficult feelings, recognizing one's own contribution to the problems they are experiencing, and lowering defenses.

Deciding to change a problem situation often means tackling the difficult tasks of:

1. Confronting someone directly and/or
2. Putting off immediate gratification.

People often avoid problem-solving by changing the subject, overwhelming the case manager with the global nature of the problem (or a huge list of problems), externalizing the problem by blaming others involved, or by exhibiting any other of a number of signs of resistance. A skilled case manager recognizes and understands resistance as a natural part of change and the growth

process. Hence, it is important for the case manager to make a consistent demand for change and growth (Schwartz, 1971).

### **BALANCING FIRMNESS WITH EMPATHY**

A young person who sees a case manager as demanding and not empathetic may feel rejected. On the other hand, a young person who sees a case manager who is empathic, but not firm, may take advantage of the relationship.

The demand for change is really a very broad concept and can be found in just about every phase of engagement with a young person. For example, all agreements established between the case manager and the young person, incorporated into the ISS, represent a demand for change. When case managers do not persist in having agreements honored, they are demonstrating their ambivalence about the necessity for or the potential of the person's efforts at change.

The demand for change can be made gently at times or strongly at other times. However, if the empathic quality is also present, the demand is more likely to be interpreted by the youth as real concern and that the case manager cares enough about the person to insist that he or she makes the requested change. Case managers must be confident about their work in order to stand firm in the face of resistance.

### **MANAGING ANGER**

If anger presents a barrier, a case manager can use some of the following techniques:

- ▶ Try to determine why the youth is angry; what is the root problem?
- ▶ Have the young person keep a log for one week to write down the times they were angry, the “trigger,” the intensity on a scale of 1 to 10; note the duration of the angry feelings; what the young person did; and what the consequence was.
- ▶ Have the young person practice counting 10 breaths or other breathing exercises.
- ▶ Help the youth develop some appropriate responses.

## Chapter Five

### Follow-Up

Follow-up services facilitate youth development and retention in employment and education placements and also provide for the tracking and data collection required to measure performance.

Effective follow-up services can increase the return on the investment of time and money in pre-placement and placement services, and create win-win situations for young people, employers, and educational organizations.

Follow-up services help each young person:

- work steadily and advance to better jobs;
- attend high school, alternative educational programs, postsecondary education and/or occupational skills training classes regularly; and
- continue to grow, mature, and acquire adult competencies through participation in youth development, educational, and/or workforce development activities for a longer period of time.

There are two types of follow-up:

- ▶ Follow-up for reporting and tracking purposes. In workforce development programs, many performance goals are measured during the follow-up phase.
- ▶ Follow-up services and activities after placement in a job or educational program to facilitate further development and boost retention. These follow-up services are an essential and integral part of the comprehensive, longer-term, goal-directed, youth development continuum of program services.

This chapter focuses on follow-up services and activities to achieve youth development, education, and employment goals and presents a brief description of principles and best practices.

#### DEFINITIONS

The definitions of some of the key words in this chapter are as follows:

- ▶ **Follow-up Services:** provide support and guidance after placement to facilitate:
  - 1) sustained employment and educational achievement;
  - 2) advancement along a career pathway and/or educational ladder; and
  - 3) personal development.
- ▶ **Retention:** sustained employment and connection to the workforce and/or continued participation in a long-term education or job training program until completion.
- ▶ **Advancement:** achievement of higher employability skills, higher wages, benefits, better position, degree or certificate obtained.
- ▶ **Contact:** personal interaction, preferably face-to-face, between the young person and the individual providing follow-up services with direct or indirect job and personal counseling; contacts can include phone calls, text messages, social & recreational activities, meetings, etc.

## Principles and Practices

### A SUPPORTIVE RELATIONSHIP BEFORE AND AFTER PLACEMENT

A case manager can help a young person successfully negotiate the world at large by:

- ▶ Listening;
- ▶ providing the right balance of autonomy and support;
- ▶ offering guidance, and instrumental assistance (referrals, information, etc.); and
- ▶ showing interest, caring, and concern.

By being responsive to the changing developmental needs of youth during pre-placement and placement activities, the case manager will be in a position to be very effective in providing follow-up services that will help young people keep their job and/or stay in school.

If different staff are assigned follow-up responsibilities, case managers should introduce the follow-up staff to each youth and jointly work with them prior to the beginning of the follow-up period.

It is important case managers keep in mind that the goal is to support youth in becoming self-sufficient. Trying to be “all things to all youth” is an unreasonable expectation that can impede young people in developing their own ability to successfully navigate the world around them. This is also one of the most common reasons for staff “burnout.” Providing more intensive support for youth with the greatest needs and gradually reducing the intensity of the support as youth become more self-sufficient is not only a good time management strategy, but encourages positive youth development.

## **POST-PLACEMENT EXPECTATIONS AND SUPPORT**

After young people have achieved their goals and are busy either working or going to school, they frequently lose interest in remaining connected to the case manager and receiving follow-up services. Before the youth exits the program, the case manager determines, with the youth, what will be needed to ensure success after program participation ends. For example: supportive services such as child care and transportation may be needed to help the youth adapt to a new shift schedule; or drug abuse counseling sessions may need to continue. Employers may want help in coaching the youth on continuing improvement in employability skills.

Listed below are: 1) some engaging types of follow-up activities that will keep young people connected to the program and provide the opportunity for continued support and counseling to facilitate retention; 2) questions to ask during follow-up activities will help pinpoint areas for support; and 3) schedules to provide a structure for support activities.

### **Engaging Follow-Up Activities**

Some programs may be able to offer evening and weekend social, recreational, and cultural activities for small groups of individuals on the case manager’s caseload. These activities provide opportunities for informal job counseling, development of peer support groups, and networking activities. Such activities might include a movie, basketball game, dinner, picnic, hike, concert, play, etc. These “fun” youth development activities serve multiple purposes: get young people to the table; broaden their horizons and help them find areas that match their interests and skills; build positive peer relationships and strengthen the relationship with the case manager; offer opportunities to plan activities and make decisions; and provide an opportunity for employment and education-related mentoring. To derive all these

benefits, if practical, a case manager should participate in the activities rather than simply refer the youth to the activities. Suggested activities:

- ▶ Meeting for lunch during the workday.
- ▶ Skills upgrading classes and workshops in the evening, i.e., computer skills, high school equivalency instruction, scholarships/college loans, job networking, job advancement, etc.
- ▶ Organize social media groups.
- ▶ Home visits (accompanied by another staff person, when possible).
- ▶ Birthday and holiday greeting cards.
- ▶ Electronic newsletters designed and produced by youth (achievements of graduates, tips/comments from graduates who are working or in college).
- ▶ Peer tutoring and mentoring (youth who are working can tutor or mentor youth in pre-placement activities and serve as guest speakers during evening workshops).
- ▶ Alumni activities - hold monthly or quarterly “class reunions” for groups who completed certain pre-placement activities such as short-term skills training together. Ask each group to elect two or three class representatives before completion of the group activity and encourage the representatives to take responsibility for notifying everyone of scheduled events and assisting in planning the events.
- ▶ Support group meetings (i.e., young mothers and young fathers).

### **WORK-RELATED QUESTIONS TO ASK DURING FOLLOW-UP ACTIVITIES**

Some types of work-related questions can be asked during the follow-up activity that will help the case manager pinpoint areas for counseling and advice are as follows:

- ▶ How do you get along with your supervisor? Your co-workers?
- ▶ What part of your job do you enjoy the most? Which tasks are the easiest? The hardest?
- ▶ Do you have a copy of your employer’s personnel policy manual? Are there any policies in it you don’t understand?
- ▶ What time did you arrive at work?



- ▶ Did you take a break? If so, at what time? What do you do on your break?
- ▶ When do you eat lunch? Who do you eat with?
- ▶ What do you wear?
- ▶ When things get slow, what do you do?
- ▶ Have you ever been asked to do things you don't know how to do?
- ▶ Are there other jobs within your company you'd like to have? Why? What is required to get those jobs?
- ▶ Are you having any problems with your personal life?
- ▶ What is your employer's policy on drug testing?
- ▶ How do you get to work each day?
- ▶ Is the work/job what you expected?
- ▶ How do you feel at the end of the day?
- ▶ When you don't understand how to do something or what to do, who do you ask?
- ▶ Tell me a little about your coworkers.
- ▶ What have you learned about yourself?
- ▶ What do your parents think about your job?
- ▶ What do your friends think about your job? Your boyfriend or girlfriend?
- ▶ What did you accomplish today?
- ▶ What worked well today? How would you rate your day?
- ▶ What do you need to do to complete probation?...to get a promotion?
- ▶ Which co-workers have been most helpful?
- ▶ What is happening with your family situation?
- ▶ What are your new goals (short and long)?

**Education-Related Questions to Ask During Follow-Up Activities**

Some types of education-related questions can be asked during a follow-up activity that will help the case manager pinpoint areas for counseling and advice are as follows:

- ▶ Tell me about your instructor(s) and the people in your class(es).
- ▶ Do you get along with your instructor? Your classmates?
- ▶ Which class do you enjoy the most? Why?
- ▶ Which class is the hardest? Why?
- ▶ What grade(s) do you think you'll receive? Why?
- ▶ How will your grade be determined? (class participation, quizzes, papers)
- ▶ What time does class start? When do you arrive? How do you get to class?
- ▶ When you don't understand how to do something or what to do, who do you ask?
- ▶ Have you made any new friends in your classes?
- ▶ Is college or training what you expected?
- ▶ How do you feel at the end of each day?
- ▶ What are you learning about yourself?
- ▶ What do your parents think about your attending college/training?
- ▶ What do your friends think about your attending college/training?
- ▶ What does your boyfriend/girlfriend think about your attending college/training?
- ▶ What courses do you want to take next semester?
- ▶ How can you get information about the best courses to take next semester?

**Schedule for Follow-Up Services**

The case manager (or follow-up specialist) must maintain frequent, systematic contact and interaction with each young person after completion of program services and/or placement in a long-term education program or occupational skills training program or job. Job loss frequently occurs rapidly (the first day, first week, or first month of employment). Similarly, the decision to drop out of an educational or skills training program may also be made

suddenly during the first weeks. Thus, case managers need to provide particularly intensive support during the beginning of the follow-up period. One schedule for interaction/contact between the case manager and a young person recommended by an organization with extensive experience in providing follow-up services is listed below:

- ▶ First and fifth day before or after work or classes during the first week of employment or enrollment in college or a training class. Talk over everything that happened.
- ▶ Once a week for the next six months.
- ▶ Once a month after the first six months unless a personal crisis requires intensive contact.

### **Staff Schedules**

Case managers generally work non-traditional schedules in order to use the various follow-up methods suggested and provide services for youth who are usually in school, working from 9:00 a.m. to 5:00 p.m., or attending college classes.

Non-traditional schedules provide time for the case manager to make school visits and job site visits during typical work and school hours and have time on the weekend or after a typical workday or school day for individual counseling and small group activities.

### **Meeting Total Needs**

It is important to maintain a network of services that continues to support the whole person and then help youth access those services. The network of support services should include:

- ▶ medical services, including mental health resources;
- ▶ housing;
- ▶ transportation;
- ▶ child care; and
- ▶ workplace clothing supplements.

If the program does not provide funding for such follow-up activities, the case manager will need to partner with other organizations that have capacity. For example, good health is

clearly linked to the ability to attend school regularly, complete a job-training course, and keep a job. Yet many young people — particularly those who have dropped out of school — have not had a recent physical examination to identify any health problems (even poor vision) or health care to address them. A case manager can play an important role in helping youth identify and access health services that are available. This is particularly true if a major change has occurred, such as entrance into postsecondary education, a work schedule that limits access to previous health providers, loss of medical insurance, or understanding employer-provided health insurance benefits. Ideally, needs in these areas will be identified and addressed prior to any job placement and/or the provision of follow-up services. However, the case manager should assess the need for assistance in these areas on an ongoing basis.

Many crises that cause job loss or poor attendance in secondary or postsecondary educational programs occur suddenly on the weekends or at night. If follow-up staff are “on call” for crisis management, this will help strengthen the personal bond between the young person who turns to the case manager at the time the crisis occurs. It will also prevent job loss and the need for replacement in another job as well as poor attendance which may lead to dropping out of school, college, or postsecondary training.

## **ACCESS TO BETTER JOBS, ADDITIONAL EDUCATION, AND CONTINUING YOUTH DEVELOPMENT**

### **Better Jobs**

The opportunity to work with youth placed in jobs for 12 months after placement provides the chance for case managers to help those young people take the first step up the workforce ladder. As a result of their current skill level and lack of work experience, young people are often placed in jobs that are not related to their interests and, like many entry level jobs, may have undesirable features such as late or week-end hours, low wages, etc. While such positions generate income for the youth, he/she should not be exited from the program until they have completed the activities in their ISS that build the skill levels needed to reach their employment and educational goals. A case manager can help a young person retain that initial job for at least 6–12 months by working with the young person from the beginning of the initial placement to develop plans for moving on to a better job within 6 to 12 months. Some of the strategies that can be used in developing those plans are listed below:

- ▶ Set short-term goals for mastering specific job skills.
- ▶ Provide individual job advancement strategies, advice, and encouragement to youth on qualifying for raises and promotions in their current job.
- ▶ Provide incentives for youth to participate in training and skill development activities during employment.
- ▶ Hold career development workshops in the evening after work.
- ▶ Arrange to have a staff job developer available to work with employed youth one evening each week, once a month, or on Saturday.

### **Additional Education**

Through follow-up services, case managers can help youth stay in school and obtain a diploma, enter postsecondary education, select and complete long-term occupational skill training and/or obtain credentials that will facilitate career advancement.

### **Continued Youth Development**

Activities to foster continued youth development and encourage responsibility and other positive social behaviors are key parts of follow-up services. Such activities can include the employment and education-related services described above, as well as:

- ▶ Community and service learning projects
- ▶ Peer-centered activities including peer mentoring and tutoring
- ▶ Organizational and teamwork training, including team leadership training
- ▶ Training in decision-making, including determining priorities
- ▶ Life skills training, such as parenting and budgeting of resources
- ▶ Self-esteem building
- ▶ Openness to working with individuals from diverse racial and ethnic backgrounds
- ▶ Positive attitudinal development
- ▶ Maintaining healthy life styles including remaining alcohol and drug free
- ▶ Maintaining positive relationships with responsible adults and peers

- ▶ Contributing to the well-being of one's community through voting
- ▶ Maintaining a commitment to learning and academic success
- ▶ Avoiding delinquency, postponed and responsible parenting
- ▶ Positive job attitudes and work skills

## ADDITIONAL FOLLOW-UP BEST PRACTICES

When resources permit, some additional strategies that can be used when providing follow-up services include:

- ▶ *Volunteer mentors at the job sites:* The case manager can work with the young person and his or her supervisor to identify someone at the youth's job site, or college, who is willing to serve as a volunteer mentor.
- ▶ *Financial Literacy Development:* Teach youth about saving and acquiring other assets as a means of advancement.
- ▶ *Obtaining additional contacts for each young person during orientation:* Simply maintaining contact with young people is one of the most challenging parts of providing follow-up services. The establishment of a strong personal bond between the case manager and the young person and the engaging personalized, creative types of contact described earlier in this chapter will help address this challenge.

Due to high mobility, it is possible to lose contact suddenly. It is helpful, during orientation or pre-placement activities, to ask each young person to provide the names, addresses, and phone numbers (if possible) of five individuals to be contacted in case of emergency (i.e., relatives, friends, neighbors). Also, if you are unable to locate a young person during the follow-up stage (moved, no longer working, etc.), try contacting other young people in the youth's orientation or skills training class and requesting information.

- ▶ *Teaming of staff:* Teaming of staff may minimize the effect of any staff turnover on the young person's connections to the organization providing follow-up services.

Frequently, if a case manager leaves an organization, the group of young people with whom he or she was working breaks off contact with the organization because the personal bond connecting the youth to the organization has been broken. However, if two case managers team up for small group activities after work with each case manager inviting two or four youths to join the activity, then the young people form personal ties to a second staff member who can step in if

the other individual leaves the organization. In such a situation, the caseload of the former case manager can be assigned as feasible to the second case manager while new enrollees are assigned to other case managers.

- ▶ *Benchmarks for successes:* Identify benchmarks for success for youth after placement: i.e., employed three months; completed first college course; received first “A;” received all “A’s.”
- ▶ *Celebrations:* Through phone calls, cards, parties, gift certificates, newsletters, and other strategies, celebrate the achievement of each benchmark of success for each young person.

## *Chapter Six*

# **Documentation: Record-Keeping and Case Notes**

Record keeping is an essential component of case management. Individual records are used in planning, implementing and evaluating the services for each young person.

A record includes:

- ▶ eligibility documents,
- ▶ assessment documentation,
- ▶ the individual service strategy (or similar plan),
- ▶ records of participation in activities,
- ▶ documentation of credentials and diplomas achieved,
- ▶ documentation of other outcomes attained (such as employment), and
- ▶ case notes.

Documents may be stored electronically and password protected or in a physical, secured file cabinet.

Moreover, the case record is a focal point for accountability to the young person, to the organization, to the organization providing funding, and the youth-serving profession in general.

This chapter presents a summary of some guidelines for recording case notes, organizing case files, and establishing an internal quality assurance system to facilitate maintaining high standards for documentation in case files.

### **CASE NOTES**

In general, a case note resulting from a face-to-face meeting or conversation should include these elements:

- ▶ a description of the context of the conversation/interview; e.g., dropped by after school, responded to the case manager's request for a meeting, etc.;



- ▶ purpose of the conversation;
- ▶ observations (appearance, seating, manner, etc.);
- ▶ content of the conversation — summary of the issues raised by the young person or the case manager;
- ▶ outcome — was the purpose of the meeting achieved? were other objectives achieved?;
- ▶ impression and assessment; and
- ▶ plans for next steps or next meeting.

In addition, a case manager should document “second-hand” information received from other sources including teachers, employers, family members, etc. indicating the source, name, and date the information was received.

**Example:** *“On 9/24/17 spoke with Jim’s mother who stated “...*

All conversations and events should be documented as soon as possible after their occurrence (at the end of a phone conversation, at the end of a day, or immediately after a young person leaves the case manager’s office). *However, many case managers suggest the notes taken should not be recorded in the presence of the young person.*

It is particularly important to document facts that directly relate to the goals and objectives of the ISS including dates of services, attendance, outcomes, and evaluation techniques. The case manager should document all successes and show how they are linked to the service plan. A copy of any credential, certificate, grade, and/or progress report obtained should be placed in the case file and annotated as well as any other records and notes forwarded from other professionals.

**Example:** *“Received progress report 9/24 from Jim’s social worker, Ellen Garber, indicating completion of probationary period”.*

Similarly, the case manager should document all failures and state reasons for the failures, if known. If services are not to be provided, a statement as to why; e.g. failed urine test, should be entered in the case notes as well as any follow-up actions.

Derogatory comments, speculation, or comments that indicate personal frustrations should never be recorded.

Case notes should be simple, legible, factual, concise, and signed by the case manager. The notes should contain information, should a case manager be reassigned, any new case manager or partnering agency, would find useful in facilitating the continuity of services.

It is particularly important for the case manager to remember note taking is very important but never more important than the young person. In some cases, where behavior change is a program objective, case notes may need to be more detailed.

***Example: Weak Case Notes***

DATE	COMMENTS
8/19/17	<p>Randy is a youth presently in the school district.</p> <p>Even the continuation high school dropped him. His mom was wondering if he could have dyslexia since his sister does.</p> <p>We will check into this.</p> <p>Randy is very immature so I hope he makes it. Keeping his attention for intake was a challenge.</p>

**Problems:**

- ▶ Labeled opinion, “Randy is immature”, as though it were a fact.
- ▶ No specific plan created for dyslexia issue.
- ▶ No timeframes or statements of responsibility.

**Example: Better Case Notes**

DATE	COMMENTS
8/19/17	<p>Randy is a youth not presently enrolled in the school district. He reports that the continuation high school dropped him because of his attendance.</p> <p>Randy's mother sat in on the initial appointment. She thought Randy might be dyslexic because he has a sister who is.</p> <p>During the appointment, at times Randy appeared distracted and uninterested.</p> <p>He stared out the window and had to have questions repeated several times and hesitated before answering simple questions, often deferring to his mother.</p>
ACTION ITEMS	
	<ol style="list-style-type: none"> <li>1. Case Manager (CM) will call school district to get information on learning disability testing by Thursday</li> <li>2. Randy will bring in remaining documentation</li> <li>3. Randy and CM will meet Thursday at 1:00</li> <li>4. CM will find out if program can pay for testing--answer by Thursday @ 1:00</li> <li>5. Above steps will be reviewed at next appointment</li> </ol>

**Example: Weak Case Notes**

DATE	COMMENTS
5/9/17	<p>Randy met the job developer two weeks ago. He is immature and may need work experience before a private sector placement.</p> <p>Randy missed most of last week being sick</p>

**Problems:**

- ▶ Labeled opinion, “Randy is immature,” as though it were a fact.
- ▶ Contains no backup plan for how the CM made the decision Randy needs work experience.
- ▶ No specific plan created.
- ▶ No timeframes or statements of responsibility.
- ▶ No appointment set.

**Example: Better Case Notes**

DATE	COMMENTS
5/9/17	Randy reported meeting with the job developer on 4/28/94. Reported job developer suggested work experience as opposed to private sector placement. Randy expressed interest in the work experience program. Stated transportation would pose a difficulty. Reviewed his attendance in Career exploration – missed 5 days last week because of flu.
ACTION ITEMS	
	<ol style="list-style-type: none"> <li>1. CM will discuss work experience placement with job developer by tomorrow am</li> <li>2. CM will review Randy's eligibility for WEX</li> <li>3. Randy will call CM tomorrow afternoon to discuss CM findings</li> <li>4. Randy will get bus schedule for the local region by Friday</li> <li>5. No plan necessary for attendance</li> <li>6. Will set schedule for next CM/client appointment tomorrow when Randy calls</li> </ol>

**Sample: Retention Case Notes**

**Youth:** Jolinda Ramirez    **Company:** General Automotive Co.

5/01/17    *Jolinda started her job today at General Insurance Company as an Assistant Bookkeeper I. I met with her this morning at her job site. She was early this morning — no problems with the bus. I spoke with Jolinda's supervisor, Marion Arnold, who said things look good so far. — S. Johnson*

5/08/17    *I visited Jolinda today; she's been on the job one week. Says she likes her job — but said she forgets what Marion, her supervisor, tells her sometimes. I suggested she keep a notebook where she can write all her instructions. Her child is fine. Spoke with Marion who mentioned Jolinda's a bit forgetful. But says Jolinda has a great attitude. Told her about notebook suggestion and we'll give it a try. — S. Johnson*

5/14/17    *Jolinda missed work yesterday because her daughter had a fever and she couldn't keep her in daycare. We discussed alternative daycare and Jolinda said her Aunt Susan has agreed to watch the child during short emergencies. She likes job, is using her notebook and doing better with instructions. Said one co-worker, Crystal, gives her a bit of a hard time, but she's just ignoring her for now. Talked to Marion who sees improvement in Jolinda's mastery of tasks. No other concerns now. I mentioned Crystal, and Marion said she'd keep an eye on it. —S. Johnson*

5/22/17    *Saw Jolinda today. Her daughter is fine and Crystal hasn't been a problem. She received a notice yesterday from the electric company they're going to cut off her service because she had not paid 2 previous bills. She called them and told them she could pay next week, but the electric company said because this is the 3rd time, they wouldn't give any more extensions. I called the electric company, explained situation (vouched Jolinda was working) and asked for 1-week extension. They agreed. — S. Johnson*

5/25/17 *Jolinda called and said she wanted to quit her job. She finally told me Crystal has been threatening her and taking things off her desk. Jolinda hasn't spoken to Marion because she's afraid. I called Marion who said she'd switch Crystal to another building. — S. Johnson*

5/26/17 *Stopped by to see Jolinda. She's still on job. We met with Marion and discussed situation with Crystal and seems taken care of. We talked about possible ways Jolinda can learn more skills. Marion said she would pair Jolinda with an Assistant Bookkeeper II because there might be some future openings. Child is fine. Bus is working out. — S. Johnson*

## **CONFIDENTIALITY**

Experience tells us sharing too much information may sometimes damage a young person's chances for a job or other opportunities; sharing too little information may sometimes do the same. Throughout any program, young people are required to share private information, and may choose to share more information on their own.

Confidentiality restrictions protect people from the disclosure of embarrassing personal information they may have revealed either by their actions or verbally, and from disclosure of the information that might lead to discrimination against them, such as use of illegal drugs or mental health history. Protecting participants' confidential information may also be necessary for their personal security, as well as their job security.

Not every partner who works with youth has to meet the same levels of confidentiality. In the justice system for example, there is a trend toward decreasing confidentiality for the sake of public safety. On the other hand, confidentiality requirements are increasing in behavioral health and residential programs. Regulations included in the Health Insurance Portability and Accountability Act (HIPAA) (<http://www.cms.hhs.gov/hipaa/>) limit the way in which personal health information is disclosed. Health subjects include mental and behavioral health. The National Collaborative on Workforce and Disability has created a publication for those working in One-Stop centers as well as youth and adult service providers who interact with individuals with disabilities. This publication is designed to help clarify what can and cannot be asked about someone's disability. To access this document, Disability Inquiries in the Workforce Development System, visit: <http://www.ncwd-youth.info/information-brief-09>

Confidentiality is also important because it enables people to seek services such as additional counseling without the fear of being stigmatized. If youth know information is confidential from their peers or their teachers or others, they might be more likely to seek assistance when they need it in the sensitive areas of their lives. Young people assured of

confidentiality can seek help without fear of disapproval and can confide with trust, and as a result, benefit more fully from any program.

Programs must require that regulations are completely understood and followed by all staff that has access to information. There should be signed releases and Memoranda of Understanding that clearly state the exact information to be shared between partners and the necessity of the disclosure.

### **PARTICIPANT FILE TIPS**

The standardization of the contents and organization of the participant files to ensure uniformity and consistency throughout all file records aids in ensuring effective service delivery. It helps case managers locate information quickly and ensures a seamless service delivery system. Maintenance of participant files will be one of the factors considered during the annual performance review process. It is the grantee's responsibility to adhere to HIPPA rules and regulations.

The following is a series of tips for case managers to consider for the content and maintenance of Participant files:

- ▶ Participant file documentation is:
  - Complete and comprehensive
  - Entered in a computer database or printed on paper.
- ▶ Whether handwritten or computer generated, each participant file page indicates the youth's name.
  - Each entry made by the case manager is dated. Where electronic records are used, the site ensures the integrity of the documentation.
- ▶ Participant files are kept secured.
- ▶ Participant files encompass youth demographic information including:
  - Residence, address and telephone number
  - Emergency contact person(s)
  - Copies of documents supporting eligibility
  - Correspondence with participant regarding the program
  - Copies of certificates or diplomas
  - Verification of placements (job, training, or education)
  - Documentation of short-and long-term goal completion

- Attendance records as applicable
  - Other information pertinent to the enrollee.
- ▶ Participant files contain proof of services delivered and documentation of outcomes. Some items can be scanned and thus maintained in an electronic format.
  - ▶ Copies of assessments and reassessments, including a copy of initial assessment of enrollee needs, which addresses the youth's strengths and assets; social or academic status; long-term training choices; family support; environmental and special needs.
  - ▶ Pre-and post-test results for the measurable objectives are kept in the file.
  - ▶ Copy of the most up-to-date signed ISS or similar plan.
    - If the plan is electronic, a print-out of the completed or most up-to-date ISS, with student's signature may be in the participant file. At a minimum information about how to access electronic plan is needed in the file.
  - ▶ Documentation that the case manager has evaluated the participant's current status and the effectiveness of services being delivered. This can be accomplished by reviewing enrollee goals to determine if they are appropriate, if they have been met, or how services might be adjusted to better serve the youth. Suggestions include housing, clothing, food, transportation, childcare, academic, medical, mental health, vocational, and post placement follow-up services being provided to the enrollee.
  - ▶ Correspondence, including letters, e-mails, phone logs, etc. with local service provider contacts, and post-program follow-up
  - ▶ Case notes, including pertinent documentation of the type of contact made with the youth or all other persons who may be involved with the youth's care and career development.
  - ▶ Other documentation as may be required by the program operator or funder.
  - ▶ Each program should create written descriptions of the standards for participant files for all Case managers as well as a created checklist of what documentation will be in each file
  - ▶ Case managers can develop the habit of 1) entering a case note immediately after the end of a telephone conversation or a meeting with a young person and 2) reviewing all case files on a regular basis (for example, once a month or whatever guidelines the grantees have for participant files management).



## **SUGGESTED PARTICIPANT FILE ITEMS**

This is a list of participant file items adapted from several current and former youth programs; and takes into consideration the uniqueness of the program.

**Please note this is a SAMPLE list of SUGGESTED items; all these documents may not be required for your program.**

This list divides a student's participant file in to six sections and does not seek to be exhaustive. Some of these documents may not apply to your program or to each participant. What is critical is your participant files have proof of the unique services and activities that took place for each participant based on the required elements of the program.

It is strongly suggested you create a written description of the standards for participant files as well as create a checklist of what documentation belongs in each file. This includes guidelines for recording case notes, organizing participant files, and establishing an internal quality assurance system to facilitate maintaining high standards for documentation in participant files.

<i>Area</i>	<i>Supporting documentation</i>
<b>SECTION 1—ELIGIBILITY</b>	
<b>Documentation</b>	<input type="checkbox"/> Selective Service Registration – male 18+
	<input type="checkbox"/> Emergency Contact for Parent/Guardian, if under 18
<b>Participant Application Form</b>	<input type="checkbox"/> Information on whether the student has an individualized education program (IEP)
	<input type="checkbox"/> Information on whether the student is certified as eligible for free and reduced-price lunch through the National School Lunch Program
	<input type="checkbox"/> Equal Opportunity Documentation (optional, but recommended)
	<input type="checkbox"/> Demographic information such as gender, race/ethnicity, English proficiency, and the extent to which a language other than English is spoken at home
	<input type="checkbox"/> Information, or listing, of other in or out-of-school extracurricular activities (clubs, music, sports, etc.) the participant is involved
	<input type="checkbox"/> Signed/Dated
<b>SECTION 2—ASSESSMENTS</b>	
<b>Assessments</b>	<input type="checkbox"/> Reading/Math/Vocational Assessments
	<input type="checkbox"/> Career Exploration Assessments
	<input type="checkbox"/> Individual Service Strategy (ISS), completed and signed
	<input type="checkbox"/> Additional Assessments, if applicable, including assessments of skill levels, aptitudes, abilities, and competencies
<b>Other Forms</b>	<input type="checkbox"/> Photo Waiver
	<input type="checkbox"/> Release of information for employers and educational institutions, if necessary
<b>SECTION 3—EDUCATION &amp; SUPPORT</b>	
<b>Education</b>	<input type="checkbox"/> Report Card with information on classes enrolled (including Advanced Placement or International Baccalaureate Diploma Programme) and attendance
	<input type="checkbox"/> Copies for student achieve awards such as Honor Roll or special recognition
	<input type="checkbox"/> Documentation on academic support provided to student such as tutoring or study skills training
	<input type="checkbox"/> Evidence of scholarships, financial aid or grants received
	<input type="checkbox"/> Evidence FASFA form was completed and submitted

	<input type="checkbox"/> Receipt and written support for monetary support given to the student against the grant for tuition and other postsecondary education or training-related costs, including books and academic fees for courses
	<input type="checkbox"/> Receipts for costs related to credential attainment for individual participants, e.g., certification exam fees
<b>Mentoring</b>	<input type="checkbox"/> Signed agreement(s) for mentoring program from mentor, student and guardian (if appropriate)
	<input type="checkbox"/> A record of mentoring meetings (example, signed time records)
	<input type="checkbox"/> Mentoring activity log, program outline and/or curriculum including topic, start/end time, hrs. per month, type to mentoring (group, one-on-one, virtual) etc.
<b>Supportive Services</b>	<input type="checkbox"/> Documentation for any supportive services provided to support participant's ability to participate in program activities, such as transportation, childcare, tools/supplies, and work clothes
	<input type="checkbox"/> Copies of receipts for supportive services received
<b>Community or Service Learning</b>	<input type="checkbox"/> Proof of volunteer services (example: sign in sheet of letters from organizations noting date and times (amount of hours) the student participated)
<b>Work Readiness</b>	<input type="checkbox"/> Documentation of leadership development activities for program participants
	<input type="checkbox"/> Portfolio Contents – resume, cover letter, thank you letter, references, and generic job application
	<input type="checkbox"/> Job Referrals, Employer Contact Sheet, Faxes, etc.
	<input type="checkbox"/> Documentation of participation career and postsecondary awareness and exploration activities– start/end date, number of days/hrs. per week, etc.
	<input type="checkbox"/> Documentation of participation in exposure to the world of work such as job shadowing, employer field trips and career awareness activities – start/end date, number of days/hrs. per week, etc.
	<input type="checkbox"/> Documentation on any financial literacy workshops attended
	<input type="checkbox"/> Documentation of job search and placement assistance
	<input type="checkbox"/> Vocational and/or workplace trainings – start/end date, number of days/hrs. per week, etc.

	<input type="checkbox"/> Documentation of participation in counseling, career fairs, employer engagement or networking workshops – start/end date, # of days/hrs. per week, etc. <input type="checkbox"/> Documentation credentials/certificates earned for training and workshops attended
<b>SECTION 4—WORK EXPERIENCE /INTERNSHIPS/ APPRENTICESHIPS</b>	
<b>Work Experience &amp; Summer Employment</b>	<input type="checkbox"/> Work agreement signed/dated
	<input type="checkbox"/> Participant evaluation completed by employer
	<input type="checkbox"/> Receipts for uniforms, tools, etc.
	<input type="checkbox"/> Copies of stipend/incentive/pay checks
<b>Internships</b>	<input type="checkbox"/> Internship agreement signed/dated
	<input type="checkbox"/> Internship participant evaluation completed by employer
	<input type="checkbox"/> Timesheets or attendance
<b>Pre-Apprenticeships &amp; Registered Apprenticeships</b>	<input type="checkbox"/> Apprenticeship agreement signed/dated
	<input type="checkbox"/> Apprenticeship evaluation completed by employer
	<input type="checkbox"/> Receipts for uniforms, tools, etc.
	<input type="checkbox"/> Copies of stipend/incentive/pay checks/supportive services received
<b>SECTION 5—PLACEMENT/FOLLOW UP</b>	
<b>Follow Up Activities</b>	<input type="checkbox"/> Evidence of participation in alumni activities such as workshops
	<input type="checkbox"/> Job search documentation
	<input type="checkbox"/> Copies of correspondence
	<input type="checkbox"/> Recognitions and letters
<b>Outcomes</b>	<input type="checkbox"/> Proof of employment
	<input type="checkbox"/> Check stubs
	<input type="checkbox"/> Enrollment in educational and/or training program
	<input type="checkbox"/> Verification from educational institution/training provider
	<input type="checkbox"/> Industry recognized certificates/credentials
<b>SECTION 6—CASE NOTES</b>	
<b>Case Notes</b>	<input type="checkbox"/> Monthly case notes – in program and follow-up
	<input type="checkbox"/> Telephone verification/in-person contact (signature suggested)
	<input type="checkbox"/> Follow-up calls
	<input type="checkbox"/> Updated contact information
	<input type="checkbox"/> Services provided
	<input type="checkbox"/> Referral information
	<input type="checkbox"/> Updated employment information

## Appendix A: Youth Employment Communities of Practice

For up-to-date information on youth resources and case management, visit one of these Communities of Practice:

- ▶ **Career Pathways** helps workforce development leaders, practitioners, and policymakers expand state and local career pathways efforts currently underway or being planned, <https://careerpathways.workforcegps.org/>
- ▶ **Re-Entry Opportunities** offers practitioners new ideas and tools to do the invaluable work of changing lives and renewing futures of former offenders, <https://reo.workforcegps.org/>
- ▶ **Youth Summer Jobs** provides an online learning platform for workforce professionals, employers, and partners to learn and share information about summer work experiences, <https://youthsummerjobs.workforcegps.org/>
- ▶ **Youth CareerConnect** offers a Peer Learning Community for Youth CareerConnect (YCC) Grantees where resources, ideas and best practices can be shared, <https://youthcareerconnect.workforcegps.org/>
- ▶ **Youth Connections** is an online learning destination for public workforce system staff and partners who serve youth, <https://youth.workforcegps.org/>
- ▶ **YouthBuild**, is a shared electronic space where YouthBuild grantees can share and review documents, exchange ideas, read and comment on blogs, <https://youthbuild.workforcegps.org/>

To sign-up to join one of these communities, go to <https://www.workforcegps.org/register>, entering in your information and “joining” the different communities of interest to get up-to-date resources and information regarding those areas and the workforce.

## Appendix B: ISS Resources

The following list provides resources on how to construct an ISS and connect participants to supportive, educational, employment and training opportunities.

**America's Service Locator** connects individuals to employment and training opportunities available at local American Job Centers. The website provides contact information for a range of local work-related services, including career development, and scholarship and grant information, and educational opportunities. <http://www.servicelocator.org/>

**Career Exploration in Action**, this Innovative Strategies Practice Brief provides practical examples and resources used by promising and exemplary youth programs to engage youth in career exploration. <http://www.ncwd-youth.info/innovative-strategies/practice-briefs/career-exploration-in-action>

**Engaging Youth in Work Experiences**, this Innovative Strategies Practice Brief provides practical examples and resources used by promising and exemplary youth programs to engage youth in work experiences. <http://www.ncwd-youth.info/innovative-strategies/practice-briefs/engaging-youth-in-work-experiences>

**GetMyFuture** is a mobile-friendly career, training, and job search resources for young adult created by the U.S. Department of Labor. <https://www.careeronestop.org/getmyfuture/index.aspx>

**First Step: A student Practitioner's Resource Guide to Supportive Services** provides youth practitioners with the information needed to connect young adults to those supportive services their employing organizations may not offer. The Guide provides quick and easy access to programs and services at the state or local level. [http://wdr.doleta.gov/directives/attach/TEN/TEN\\_31\\_12\\_Att.pdf](http://wdr.doleta.gov/directives/attach/TEN/TEN_31_12_Att.pdf)

**Helping Youth Develop Soft Skills for Job Success: Tips for Parents and Families** is an InfoBrief which discusses the importance of soft skills and offers strategies parents and families can use to help their child develop skills for employment success. <http://www.ncwd-youth.info/information-brief-28>

**ILP Fact Sheet** explores the components of an ILP. <http://www.ncwd-youth.info/fact-sheet/individualized-learning-plan>

**ILP Resources Home Page** connects the user to numerous resources on ILPs. [www.ncwd-youth.info/ilp](http://www.ncwd-youth.info/ilp)

**Map: Individualized Learning Plans Across the U.S.,** this Interactive Policy Map is to provide a snapshot of ILP implementation in all 50 states and Washington, D.C.

<http://www.dol.gov/odep/ilp/map/>

**My Future Website** helps young adults plan their next steps in life by bringing together the most recently available information about colleges, careers, and military services. Designed primarily for individuals between 16 and 24, the site features information drawn and collated from the U.S. Departments of Commerce, Defense, Education, and Labor. The site contains information on more than 1,000 military and civilian careers and nearly 7,000 accredited colleges, universities, and trade schools, and it can serve as a central resource for valuable background on college admission requirements, employment trends, and military benefits.

<http://www.myfuture.com>

**My Next Move Website** is a U.S. Department of Labor website intended to assist all jobseekers. It may be useful for students, young adults, and other first-time workers as they explore potential careers based on their interests. The tool complements the [“mySkillsmyFuture”](#) site, which is designed to help those with previous work experience match their existing skills to new occupations. <http://www.mynextmove.org/>

**Promoting Quality Individualized Learning Plans: A How to Guide Focused on the High School Years** was developed in response to feedback from schools indicating a need for curriculum and implementation guidelines to support whole-school buy-in for implementing individualized learning plans (ILPs). [www.ncwd-youth.info/ilp/how-to-guide](http://www.ncwd-youth.info/ilp/how-to-guide)

**Skills to Pay the Bills: Mastering Soft Skills for Workplace Success,** created for youth development professionals as an introduction to workplace interpersonal and professional skills, the curriculum is targeted for youth ages 14 to 21 in both in-school and out-of-school environments. <http://www.dol.gov/odep/topics/youth/softskills/>

**Students and Career Advisors** helps young people identify their interests, explore careers, obtain work experience (through employment, internships, or apprenticeships), and find education options. [www.careeronestop.com/studentsandcareeradvisors](http://www.careeronestop.com/studentsandcareeradvisors)

**Using Career Interest Inventories,** this Innovative Strategies Practice Brief provides practical examples and resources used by promising and exemplary youth programs to conduct career interest inventories with youth. <http://www.ncwd-youth.info/innovative-strategies/practice-briefs/using-career-interest-inventories-to-inform-career-planning>

**Using Individualized Learning Plans to Produce College and Career Ready High School Graduates,** addresses a litany of issues relevant to moving a quality ILP initiative forward. <http://www.ncwd-youth.info/ilp/produce-college-and-career-ready-high-school-graduates>

**What's My Next Move?** A guide produced by the U.S. Department of Labor's Employment and Training Administration designed to help high-school students manage their career and employment path. It combines online resources and action items for teens to complete on their own or in with an adult. <http://www.careeronestop.com/whats-my-next-move.aspx>

**Youth.gov "Map My Community"** allows users to search for federally-funded, youth related resources. <http://youth.gov/map-my-community>



## Appendix C: Participant File Resources

The following list provides resources on participant files and other tools to create a comprehensive file and connect program staff and participants to supportive, educational, employment and training opportunities.

**“Is Your House in Order?” YouthBuild Video Series** (2014) contains 11 videos to help assist grantees in preparation for DOL grant compliance and monitoring reviews.

[https://www.youtube.com/playlist?list=PLX8R1qzt\\_6MBNXfTij\\_r9s19b5ydl2hCk](https://www.youtube.com/playlist?list=PLX8R1qzt_6MBNXfTij_r9s19b5ydl2hCk)

**First Step: A student Practitioner’s Resource Guide to Supportive Services** (2012) provides youth practitioners with the information needed to connect young adults to those supportive services their employing organizations may not offer. The Guide provides quick and easy access to programs and services at the state or local level.

[http://wdr.doleta.gov/directives/attach/TEN/TEN\\_31\\_12\\_Att.pdf](http://wdr.doleta.gov/directives/attach/TEN/TEN_31_12_Att.pdf)

**Youth.gov “Map My Community”** allows users to search for federally-funded, youth related resources. The interactive mapping tool on this page to locate federally supported youth programs in your community. Search by full address or ZIP code and click Find Programs. If programs are found the location is marked on the map. <http://youth.gov/map-my-community>

**YouthBuild Counseling and Case Management Handbook** (2010) focuses on how to offer the personal supports students need to overcome obstacles to achieving their goals, how to assist them in linking with the resources they need, and to document outcomes associated with the delivery of these services and opportunities to YouthBuild participants. The second part of the manual focuses on Case Management in Practice.

[http://youthbuild.workforcegps.org/~media/WorkforceGPS/youthbuild/Files/Program%20Handbooks/Counseling\\_Case\\_Management\\_0610.pdf](http://youthbuild.workforcegps.org/~media/WorkforceGPS/youthbuild/Files/Program%20Handbooks/Counseling_Case_Management_0610.pdf)