MASSACHUSETTS

Workforce Investment Act

WIA Communication No. 04-34 ☑ **Policy** ☐ **Information**

To: Chief Elected Officials
Workforce Investment Board Chairs
Workforce Investment Board Directors
Title I Administrators
Career Center Directors
Title I Fiscal Officers
DCS Regional Directors
DCS Area Directors

cc: WIA State Partners

From: Susan V. Lawler, Commissioner
Division of Career Services

Date: April 29, 2004

Subject: Case Management for Job Seeker Customers

Purpose: To provide policy guidance to Career Center managers and staff related to the uniform and consistent interpretation of the elements that constitute case management for job seeker customers under a formal Case Plan and to ensure the integrity of reporting Case Plan activities and services through the Massachusetts One Stop Employment System (MOSES) for individuals being case managed.

Background: The Workforce Investment Act provides for strengthened integration of workforce development services through a universally accessible One Stop delivery system. A general goal of the Workforce Investment Act is the personal empowerment of job seekers to take control of their own career development based on their ability to make an informed choice regarding the mix of services and the method of service delivery that best meets their individual needs. For those Career Center customers who are confident in the currency of their skills, choosing and accessing specific services can be a simple and somewhat straightforward process, much of which may be self-directed.

For others, however, the choices may not, initially, be all that clear. Many customers come to the Career Center unsure as to the viability of their skills and the prospects for finding similar work, or without an understanding of what the changing nature of the workforce means to them. They may have significant barriers that impede their ability to effectively reenter the workforce.

To these individuals, the advice, guidance and support available through the Career Center system provides the most effective foundation for them to more fully explore the service mix available to them. For some customers the planning and managing of their job search may seem to be a daunting task, and may require a more formal, structured and staff-assisted approach in order to identify and attain a realistic and suitable employment goal.

Case management is a method of providing job seeker customers with a formal, structured plan of action designed specifically to identify an appropriate occupational goal and to develop a schedule of services that will empower them to overcome or mitigate any barriers to attaining their goal.

Massachusetts' One Stop Career Centers have, since their inception, utilized the case management model as an efficient method of creating a framework for many of their customers to successfully find new employment. It has, in fact, been a common practice for Career Centers to target certain groups of workers for case management as the most effective way to provide needed services.

However, the 2003 - 2004 Quality Assurance reviews and on-going review of case management data elements in MOSES have clearly identified wide ranging and systematic inconsistencies in both the interpretation, recording and reporting of services provided to case managed job seeker customers of Massachusetts' One Stop Career Centers.

To assure the accurate and consistent interpretation, recording and reporting of service elements provided to job seekers within the context of the case management model, it is important that all Career Center management and appropriate staff are knowledgeable of specific case management functions, the service elements and actions that fall within those functions, the correct method of recording those service elements and actions in MOSES, and which customer groups have been designated for case management.

Policy: Formal case management will be the standard service delivery model for customers from these targeted groups.

- WIA Title I Enrollees
- Military Veterans and Other Qualified Eligible Persons (spouses of veterans who: died of a service connected disability; are MIA; are captured/POW; or a spouse of any person who has a total permanent service connected disability) who are assigned to the DVOP/LVER case manager
- Employment Assisted Service (EAS) Participants
- National Emergency Grant (NEG) Participants
- Trade Adjustment Assistance (TAA) Participants

Career Center staff may also identify individual customers who may benefit from case management. For each case managed customer, a Career Center staff person will be assigned to manage and coordinate the individual's formal service plan as the case manager.

Local Workforce Investment Boards may also identify additional customer groups for local case management. It is highly recommended that *all* customers who will require intensive services be case managed.

Case management is a customer-centered, goal-oriented process in which an individual staff person or a team of career center staff assists a customer with the development and coordinated delivery of a formal program of planned services in order to achieve a specific vocational goal. The case management model implies a partnership between the One Stop Career Center staff and the customer. However, the partnership involves distinct responsibilities aimed at linking the customer to appropriate career center services and ultimately, moving the customer to suitable employment. Systematic and timely records of all case management activities assure program continuity for each customer.

Effective case management consists of a structured set of clearly interconnected functions that a designated One Stop Career Center case manager undertakes to develop and coordinate the delivery of an individual customer's agreed upon plan of workforce development services.

For case management to be truly effective the designated case manager must be fully responsible for monitoring the customer's progress throughout the entire service plan schedule, not only for those elements of the plan provided directly by the case manager, but also for services provided by other Career Center staff or staff of other service organizations. Additionally, as a standard practice, the case manager should contact the customer at intervals of no longer than 60 days, unless program requirements or contractual agreements stipulate shorter durations, to assure timely identification and resolution of any issues that could either significantly impede or negate participation in, or successful completion of, any planned service activity (particularly in relation to key services such as assessment, counseling, training, job development, job referral , etc.) or jeopardize the overall attainment of the customer's employment goal. Regular contact with other direct service providers is also an important step in assessing progress and assuring the customer's overall success.

Career Center Managers and staff must note that case management can occur across career center service areas. With customer choice a cornerstone of the service delivery model under the Workforce Investment Act it is conceivable and, in some geographic areas, likely that the development of a formal Case Plan may involve the provision of specific services through more than one Career Center. In such cases, the designated case manager must maintain the overall responsibility of assisting the customer to develop a Case Plan that provides the optimal mix of services to reach his/her employment goal. The case manager

must also coordinate service delivery, conduct follow-up and ensure that all necessary data and information is entered in MOSES in a timely manner, notwithstanding what individual or entity is the actual service provider. For the benefit of the customer, communication with staff providing services through a different Career Center is essential to effective case management.

It must also be remembered that if a staff person is working with a customer who is being case managed through a different Career Center, the staff person should ensure that services are consistent with the Case Plan and that the designated case manager is informed of the customer's intent and/or actions. All services must be recorded in MOSES on a timely basis. Consistent with established procedures, the staff person must also seek and obtain the appropriate security clearance to make any modifications to the customer's Case Plan.

In other instances, a customer may choose to change Career Centers, altogether. Should such a circumstance arise, it will be the responsibility of the Career Center Director to assure that the case manager formally transfers the individual's case to the new Career Center and to a newly designated case manager. Again, the transfer should be accomplished according to established procedures.

The MOSES Case Management Tool has been specifically developed to record and report services and activities developed and undertaken under the auspices of a formal Case Plan and within the context of a case management service model.

The MOSES Case Management Tool supports all case management functions from an individual's initial assessment and program eligibility determination through service delivery documentation, follow-up and case closure. The tool also provides a "tickler" system to aid the case manager in monitoring the customer's progress in carrying out his/her Case Plan service schedule, and in conducting timely follow-up activities. The MOSES Case Management Tool also provides a framework to effectively record, manage and track all aspects of each Career Center staff person's (case manager's) caseload.

Attached is a chart outlining the basic case management functions: Assessment, Goal setting, Strategy/Case Plan Development, Service Delivery Coordination, Follow-Up and Case Closure. The chart provides general guidance regarding the documentation requirements related to recording case management activities and information for each of the basic functions using the MOSES Case Management tool. The chart should be used as a desk aid.

Effective: Immediately. Please assure that all appropriate Career Center management and direct service staff are apprised of the content of this issuance.

References: The Workforce Investment Act of 1978, §134(c) & (d); Title 38, Part III, Chapter 41, §4101; WIA Communication No. 01-34; WIA Communication No. 03-14.

Inquiries: Inquiries may be directed to Alice Sweeney, Director, Career Services Central Operations at (617) 626-6449 or asweeney@detma.org.

Filing: Please file this in your notebook of previously issued WIA Communication Series Issuances as #04-34.

This chart may serve as a general desk guide for conducting and recording services and activities as part of case management.

<table>
<tr><th>Basic Elements
for Case Management of Career Center Job Seeker Customers</th><th>Documentation Components</th><th>MOSES Application</th></tr>
<tr><td><u>ASSESSMENT</u>
An analysis of the strengths and weaknesses of an individual's educational level, work history, vocational skills, interests, aptitudes and/or the identification of any employment barriers.

1. Review Work History
2. Review Educational Background
3. Skills/Abilities Analysis
• Basic Skills*
• Occupational Skills/Abilities
• Aptitudes
• Interests
4. Identify Barriers to Employment
• Labor Market for Current Skills
• Job Search Skills
• Other barriers, including, but not limited to: lack of transportation, housing, limited English abilities, lack of child care, etc.

*Note:
(1) Reading and math scores must be recorded for all adults and dislocated workers receiving Title I training services. Individuals with post-secondary education</td><td>• Work History Summary
Translates relevant raw data into short, detailed summary of work history. List relevant employment and include the following:
▪ Responsibilities
▪ Reason for Leaving Prior Jobs
▪ If Not Applicable, explain.

• Education History Summary
Translates relevant raw data into short, detailed summary of education history.
▪ Highest Grade Completed
▪ Degrees/Diplomas
▪ Licenses/Certifications
▪ Adult Ed Courses (if relevant)
▪ Specialized Training (if relevant)
▪ If "Other" or "None", explain

• Skills/Abilities Analysis (formal testing)
▪ Instrument Name
▪ Date Administered
▪ Score/Outcome</td><td>NOTE: For an individual to be included in the official count of case managed veteran customers, the case manager must initially record both the Assigned Case Manager and Received Case Management Services entries under the Services, General tab.

Assessment information is brought into the Case Plan tab from the Education, Work Experience, and Services tabs of the main membership, as well as from the Skill Set tab in Match Criteria. You can add notes and labor market information.

Information collected from intake and assessment processes populate the Customer's Work History from the Work Experience tab and populates the Customer's Education from the Degrees field of the Education tab.

The Barriers tab should be used to accurately record identified barriers and plans to address them. Do not delete a barrier once it has initially been recorded. If a customer eventually overcomes a specific barrier simply record how the individual overcame the barrier on the Barriers tab.</td></tr>
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may be exempted from testing. (2) Formal assessment of basic skills is *strongly recommended* for adults and dislocated workers receiving intensive services.	▪ Analysis (if appropriate) ▪ Other (e.g. portfolio) Explain: ▪ Assessment not completed Explain: • Barriers *Documentation of any impediments to successful participation in job search, training and/or sustained employment.* ▪ Barrier Name ▪ Brief Description ▪ Plan to address barrier ▪ None • Labor Market Documentation ▪ Explain why customer can or cannot find suitable employment with his/her current skills ▪ If applicable, justify why customer will be likely to find suitable employment with newly acquired skills ▪ Information substantiated with reliable references noted	Record labor market conditions for both prior job and future employment goal. Record labor market conditions in the *Case Plan, Assessment* sub-tab. [This may change based on the MOSES Case Management build re-design.]
GOAL SETTING *The process undertaken by a customer and a designated Career Center case manager of formally identifying and mutually agreeing upon the customer's desired employment related outcome.*	• Wage Range Desired • Goal Statement	Record goals that both the Career Center case manager and the customer agree are attainable in the *Case Plan*, *Goals* sub-tab. The *Goal* statement must be entered into the *Goal Narrative*.

1. Review Assessment Results 2. Discussion of Potential Goals 3. Set Goal		
<u>STRATEGY/CASE PLAN DEV.</u> *The process undertaken by an individual customer and a designated Career Center case manager to identify and mutually agree upon the specific mix of Career Center services necessary to attaining the customer's vocational goal.* 1. Review/Finalize Service Mix 2. Review Support Service Needs 3. Discuss Any Service Cost/Funding Issues 4. Review Potential Resources 5. Discuss/Finalize Service Schedule 6. Formal Agreement between Customer and Case Manager	• Customer Eligibility for Specific Services, particularly for training services. For a training program, document: ▪ School/Vendor ▪ Course(s) Name ▪ Number of Weekly Training Hours ▪ Start/End Dates For Support Services, document: ▪ Service Type ▪ Funding Source ▪ Eligibility Determination consistent with local policy	Record tasks/activities and/or detailed notes that both the Career Center case manager and customer agree are necessary to the attainment of the goal(s) in the *Case Plan*, *Goal* sub-tab. Record all services provided in the *Services, General* tab. Support Services and/or Needs Related Payments also need to be recorded in the *Services*, *General* tab. For a customer who will undertake training services, enter the reasons for selecting training in the *Case Plan*, *Training Justification* sub-tab. Certain items checked require completion of the corresponding text box. Also complete information related to other forms of funding that were considered and/or applied for in the *Training Justification* sub-tab. Under *Services*, *Course/Activity* sub-tab, enter required vendor and course information into the training screen. The *Case Plan* may be printed for signature of both the customer and case manager by going to *Job Seeker* on the *Main Menu* bar and selecting *Documents*, *Job Seeker Case Plan.*

<u>ON-GOING CASE MANAGEMENT</u> *The regular, periodic contact with the case managed customer to review and determine progress toward the individual's overall goal or to review and determine the customer's status with regard to a specific element of the Case Plan.* On-going case management may: • Identify new or additional barriers or personal issues to be resolved • Identify a customer's failure to participate in or complete a planned service component • Identify a customer's entry into employment • Identify that a customer's status is changed.	Recording of all appropriate status and/or outcome data and information garnered from customer contact in a timely manner.	Use Notes for documentation. When promted for a service, record the appropriate service.
<u>CASE CLOSURE</u> *The formal cessation of active service delivery and follow-up conducted in conjunction with the agreed upon elements and terms included in a customer's formal Case Plan.* Formal Case Closure may occur: 1. After the appropriate follow-up period and verification that a customer has achieved his/her vocational goal (employment) as described in the individual's Case Plan. 2. After verification that a customer has moved out of the service area and will no longer participate in the program of services described in the Case Plan.	For a case closure based on attainment of the employment goal the following Job Information must be entered: • Job Title • Employer Name, Address, Telephone • Employer Contact Person • Wage/Salary, Hours, Benefits	Record proper job entry category information (obtained employment, found employment) on the *Services, Employment* sub-tab. **NOTE:** For *entered employments*, MOSES will automatically record the appropriate outcome/enhancement service. Update all goals so no goals are in the Pending status on the *Case Plan, Goals* sub-tab. Go to *Job Seeker* on the *Main Menu* bar. Choose *Caseload Management, Cases* sub-tab and *Suspend* the case. Include the reasons for suspension. An authorized manager will review the case and either officially close the case or request additional

3. After verification from a customer that he or she has decided to no longer participate in the program of services described in the Case Plan. 4. After the 90 day period following the case manager's last contact with a customer who has ceased to participate in the planned services as described in the individual's Case Plan and who has not achieved his or her stated vocational goal. 5. Other, unanticipated circumstances may also warrant formal Case Closure.		information.