Introduction

Integrating Early Alerts & Case Management

Introduction to Resources

Why Early Alerts and Case Management?

Effectively gathering and responding to feedback is critical to enhancing your student success mission. A clear Early Alerts and Case Management strategy allows administrators to better coordinate the collection, triage and intervention pathways that are central to this Transformation Track. Streamlining these efforts can help maximize faculty and staff insights, elevate the student support experience, and improve success outcomes. This guide is intended to provide a framework, supported by Navigate, to help you and your team design a strategy to transform information-sharing, support, and collaboration across your campus.

Process Framework

These resources are intended to help institutions tackle this Transformation Track using the above framework: planning, acting, and evaluating.

How Can Navigate Support this Objective?

There are many features, across the Strategic Care, Smart Guidance, and Intelligence modules, that can be leveraged throughout the planning, execution, and evaluation of an early alerts and case management strategy:

- Alerts
- Progress Report Campaigns
- Cases
- Care Units
- Appointment Scheduling
- Appointment Campaigns
- Email
- Text Messaging
- Resources
- Reports

The resources in this guide and your Strategic Leader can help you to determine which features align best which each phase of your alert and case management strategies.

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Early Alerts & Case Management Strategy Diagnostic

TOOL

1

Use the following diagnostic to identify areas of opportunity in your institution's early alert and case management strategy. Your Strategic Leader will use your responses to this diagnostic to drive their recommendations for next steps.

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Integrating Early Alerts & Case Management

Strategy Diagnostic

To fully maximize Navigate's alert and case functionality, it is important for institutions to develop a coordinated, end-to-end strategy for early alert management. The ideal alerts and case management pipeline includes five areas of focus, as shown in the graphic below.

Use this diagnostic exercise to guide your strategy development efforts, by assessing your current approach to collection, triage, and intervention pathways and identifying key opportunities for improvement.

		Not Yet	Somewhat	Definitely
COLLECTION	Is each Alert Reason **clear and intentional** so that reporters understand exactly what information they are submitting?	☐	☐	☐
COLLECTION	Are faculty/staff selecting from **a reasonable list** of Alerts when they Issue Alerts or submit Progress Reports (i.e., does the list capture common concerns without being overwhelming)?	☐	☐	☐
COLLECTION	Were **faculty/staff involved in the development** of Alert Reasons and Progress Report strategy in order to ensure buy-in and set appropriate expectations?	☐	☐	☐
COLLECTION	Do Progress Report campaigns focus on **specific courses or student populations** in alignment with institutional and departmental student success goals?	☐	☐	☐
COLLECTION	Do you have a **centralized process and timeline for creating, sending, and reviewing** Progress Report campaigns?	☐	☐	☐
COLLECTION	Do **senior departmental or institutional representative(s) prompt faculty to respond** to Progress Reports to increase participation?	☐	☐	☐
COLLECTION	Do you **meet with faculty/staff at least twice a year** to share updates, provide support, and collect overall feedback?	☐	☐	☐
TRIAGE	Is the **volume of Cases created from Alerts manageable** using existing staff and processes?	☐	☐	☐
TRIAGE	Have you established **tiered triage processes** to help quickly review/assign cases **based on specialty or capacity**?	☐	☐	☐
TRIAGE	Do you reduce triage and simplify intervention pathways where possible by **creating and leveraging self-service opportunities** (e.g., direct-to-student communication, resource-focused courses, appointment campaigns)?	☐	☐	☐
TRIAGE	Do you leverage **Care Unit-specific Case assignment** in instances where case details should be directed and limited only to specific stakeholders?	☐	☐	☐
TRIAGE	Do you have an **"air traffic controller" who supports day-to-day** alert and case management by streamlining communication, assignments, and next steps?	☐	☐	☐
TRIAGE	Are **collaborative, multi-disciplinary teams** assigned to help handle severe/complex cases?	☐	☐	☐

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Integrating Early Alerts & Case Management

Strategy Diagnostic (cont.)

		Not Yet	Somewhat	Definitely
INTERVENTION PATHWAYS	Were **faculty/staff involved in the design** of Intervention Pathways to help identify and formalize successful cross-functional intervention practices	☐	☐	☐
	Have you **identified and resolved large-scale support infrastructure gaps,** such as specific case types often going unaddressed?	☐	☐	☐
	Is there a **specific person/team/department responsible for owning the overall process** and ensuring that existing and future challenges are met?	☐	☐	☐
	Have you provided faculty and staff with **training, expectations, and documentation** of intervention pathways and protocols?	☐	☐	☐
	Do protocols include **clear timelines, owners, and action steps**?	☐	☐	☐
	Do stakeholders **understand the case movement** throughout an intervention pathway, including **when, why, and how cases should be closed**?	☐	☐	☐
	Do faculty and staff have the knowledge and access needed to stay **up to date on case outcomes and close the feedback loop**?	☐	☐	☐

NEXT STEPS

Review your responses to the Strategy Diagnostic. Brainstorm up to four Action Items that address areas where you responded *Not Yet* or *Somewhat***.**

When outlining your Action Items, think about the *who, what, where, when,* and *why* components of each plan. For example, who will own the Action Item and who will support these efforts? What is your timeline? How will you accomplish these next steps and set up your teams for success?

1 **Action Item:**

2 **Action Item:**

3 **Action Item:**

4 **Action Item:**

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Workshop Guide

TOOL

2

Use the following workshop guide to help steer collaboration across stakeholders and craft a vision for the ideal alerts and case management strategy at your institution.

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Integrating Early Alerts & Case Management

Workshop Guide

Integrating Alerts and Case Management into your institution's Coordinated Care Network requires thoughtful design and planning. By its very nature, a true *Coordinated Care Network* requires collaboration, communication, and organization. To best accomplish these goals, we recommend that Navigate Leadership Teams partner with stakeholders across the institution to develop the collection processes, triage protocols, and intervention pathways that work best for the students, staff, and faculty for your campus.

Use this Workshop Guide to structure an interactive workshop and gather stakeholders across campus who can help examine Early Alerts processes; determine opportunities to streamline; identify when and how alerts should prompt cases; and outline the details of specific intervention pathways. This workshop is designed to create buy-in, accountability, and a shared vision for the final plans.

Considerations

Here are some logistics to consider when setting up and preparing for this session:

Who should be in attendance?

- Faculty (selection of) – They are often the most common source for alerts, especially coming from Progress Reports. Their presence can also create clarity around what is their responsibility in responding to alerts on students (e.g. faculty should be connecting with students in their courses who are academically not performing well)
- Case Management Staff – Staff who are primarily responsible for responding to cases that are opened and connecting students to specific resources/support on campus
- Advisors (Faculty and/or Staff; selection of) – These individuals are often notified when alerts are issued on a student and might be having conversations with students based on trends they are seeing.

How much time is required?

- A minimum of 2 hours is needed for this session, but ideally you would be able to set aside up to 4 hours to best support decision-making and reduce follow-up activities. Both timelines are outlined below.

What should happen during the session?

- This session has two major parts:
  - An overview of early alerts and case management
  - Brainstorming and working time within four of the five steps outlined in the early alerts presentation (Planning & Goal Setting, Collection, Triage, Intervention Pathway). Assessment can be included but for timing can be discussed broadly during the "Planning & Goal Setting" portion.

How do I facilitate the brainstorming session?

- For this part of the session, you will want to have Post-Its for the attendees, as well as the larger wall Post-Its (or designate a wall for each of the steps).
- You will want to break the room up into smaller groups. This can be done by college/school or at random, depending on what you and your leadership team think is best. Once broken up, move the participants through each of the steps of the process. Remind the group that you want to get as close to a shared list of alerts (and ones that prompt cases), timelines in the term, intervention responses, and who is responsible for interventions/follow-up.
- Depending on the amount of time available, you may want to distribute copies of the Early Alerts Process Handout (separate handout) to the groups to have them fill out.

Suggested agenda outlines are included on the next two pages, with different timeframes depending on needs and constraints. The four-hour agenda includes different steps of the process as distinct session components; however, you can also structure it like the two-hour agenda to be more free-flowing, with groups working on all four steps at once and leaving 30 minutes at the end for discussion.

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Workshop Guide – Two-Hour Session Outline

Time	Session Component	Goals	Notes to Consider
30-45 minutes	**End-to-End Early Alerts Presentation**	Provide an overview of Early Alerts and Case Management	• At the end of the presentation you will need to break the room up into groups • Be sure to provide examples of appropriate answers to each of the steps in the process (potentially put them on the large Post-Its as well) • Let attendees know to put Post-Its up on wall as they complete them so that you can begin to theme them and report out every 15-20 minutes
75-90 minutes	**Brainstorming Exercise & Discussion**	Small groups will discuss each step of the process (Planning & Goal Setting, Collection, Triage, & Intervention Pathway) and write down aspects of their discussion to be reviewed later	• During the brainstorming exercise, group can go at their own pace, but encourage groups to start at the Goal Setting step since it is often the step that is most forgotten and can drive answers in the other steps of the process • Remind groups to put of their answers from their Post-Its on the larger Post-Its • Start to theme answers on the larger Post-Its • Share out the responses every 15-20 minutes and get a pulse check in the room to see if these are in alignment or are what they would have expected (will want to keep the pulse check & response brief since time is limited) • Most likely there will not be consensus amongst the groups so with 15 minutes remaining, ask small groups to transition to the handout to create their "ideal" early alerts process for the institution → these will be collected and reviewed by the leadership team to determine next steps • If necessary, move to alert and intervention example slide to remind group of goals
5-10 minutes	**Report Out & Wrap Up**	Small groups will share insights or thoughts from their discussions	• Ask each group to share 1-2 insights or thoughts from their discussion • Share next steps with the group. Include details around expectations, timeline, next steps, etc.

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Integrating Early Alerts & Case Management

Workshop Guide – Four-Hour Session (or Retreat) Outline

Time	Session Component	Goals	Notes to Consider
30-45 minutes	**End-to-End Early Alerts Presentation**	Provide an overview of Early Alerts and Case Management	• At the end of the presentation you will need to break the room up into groups • Be sure to provide examples of appropriate answers to each of the steps in the process (potentially put them on the large Post-Its as well) • Let attendees know to put Post-Its up on wall as they complete them so that you can begin to theme them and report out every 15-20 minutes
40-60 minutes	**Planning & Goal Setting**	Small groups will focus on Planning & Goal Setting portion of the process and write down aspects of their discussion to be reviewed later	• Remind groups to put of their answers from their Post-Its on the larger Post-Its • Start to theme answers on the larger Post-Its • After about 30 minutes, share out the responses and get a pulse check in the room to see if these are in alignment or are what they would have expected • After the pulse check, open the floor for discussion to being to get consensus from the room → once some consensus is reached start to keep track on the handout
40-60 minutes	**Collection**	Small groups will focus on Collection portion of the process and write down aspects of their discussion to be reviewed later	• Remind groups to put of their answers from their Post-Its on the larger Post-Its • Start to theme answers on the larger Post-Its • After about 30 minutes, share out the responses and get a pulse check in the room to see if these are in alignment or are what they would have expected • After the pulse check, open the floor for discussion to being to get consensus from the room → once some consensus is reached start to keep track on the handout
40-60 minutes	**Triage**	Small groups will focus on Triage portion of the process and write down aspects of their discussion to be reviewed later	• Remind groups to put of their answers from their Post-Its on the larger Post-Its • Start to theme answers on the larger Post-Its • After about 30 minutes, share out the responses and get a pulse check in the room to see if these are in alignment or are what they would have expected • After the pulse check, open the floor for discussion to being to get consensus from the room → once some consensus is reached start to keep track on the handout
40-60 minutes	**Intervention Pathway**	Small groups will focus on Intervention Pathway portion of the process and write down aspects of their discussion to be reviewed later	• Remind groups to put of their answers from their Post-Its on the larger Post-Its • Start to theme answers on the larger Post-Its • After about 30 minutes, share out the responses and get a pulse check in the room to see if these are in alignment or are what they would have expected • After the pulse check, open the floor for discussion to being to get consensus from the room → once some consensus is reached start to keep track on the handout • If necessary, move to alert and intervention example slide to remind group of goals
5-10 minutes	**Report Out & Wrap Up**	Small groups will share insights or thoughts from their discussions	• Ask each group to share 1-2 insights or thoughts from their discussion • Share next steps with the group. Include details around expectations, timeline, next steps, etc.

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Collection Timeline

TOOL

3

Use the following worksheet to plot a timeline to holistically tackle early alert collection across the academic term and year.

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Plot a term-by-term timeline to holistically tackle early alert collection.

Progress Report Campaigns are an excellent way to facilitate the collection of Early Alerts. To streamline the process and ensure that collected information is useful and utilized, it's important to design a Progress Report campaign strategy with clear timeframes and expectations that work for faculty, staff, and students.

Carefully consider all aspects of the Progress Report Campaign process.

In the black chevron *Timing* boxes on the left, list out they key dates/timeframes, such as "weeks 1-3" or "August 15th."

In the orange rectangular *Action Steps* boxes on the right, outline the key action items for the given timeframe.

In the blue oval *Owner* boxes in the middle, define the owner for each activity. Be specific about roles and responsibilities in instances where there is more than one owner.

Create one timeline for each academic term.

On the next page is a larger, blank Collection Timeline, which can be copied and filled out for each term.

Collection Timeline

Key Considerations

- ***Scope***: What is the scope (e.g., student populations, courses)? Who is involved in determining scope and when does this need to be finalized? Is the resulting scope actionable (i.e., will the feedback lead to manageable, timely interventions?
- ***Coordination***: Who will compile and send the campaign? How will they incorporate decentralized needs (e.g., Watch Lists, departmental/athletics requirements) and when does this need to be finalized?
- ***Responses***: Do faculty understand how and when to provide feedback? For courses with multiple assigned faculty, who is expected to respond? Is the campaign timed so that faculty will have enough information to provide feedback? Should they give feedback more than once?
- ***Nudges***: Is there a faculty champion(s) to encourage faculty to respond? Are there anecdotes or evidence to help make the case for faculty participation? How and when will you remind faculty that have not yet responded?
- ***Evaluation***: When and how will you evaluate the success of the campaign? How will you iterate to improve future campaigns?

Example

Timing	Owner	Action Steps
Weeks 1-3	Student Success	Finalize PR campaign scope
Weeks 3-5	Advising	Collect watch lists Create PR campaign for review
Weeks 5-6	Student Success	Send campaign Attend faculty meetings for reminders/updates
Weeks 6-8	Advising	Collect, review, address feedback Gather list of outstanding PR requests to nudge

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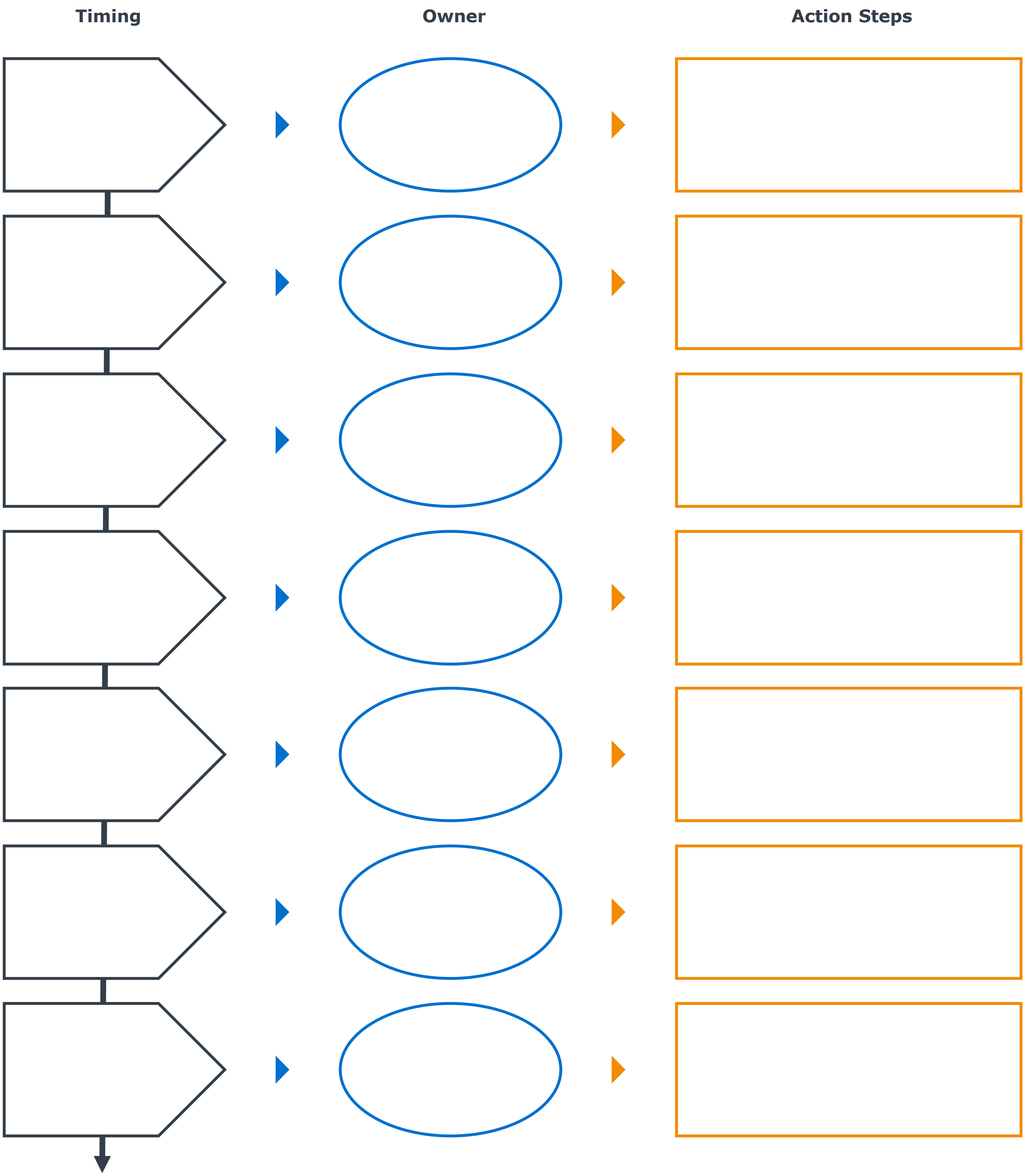
Integrating Early Alerts & Case Management

Collection Timeline



Triage Map

TOOL

4

Use the following worksheet to define your institution’s alert needs and map out critical case opportunities.

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Define Alert needs and map out critical Case opportunities.

Alerts and Cases can be configured in Navigate so that staff can easily collect and address qualitative feedback. To ensure that all stakeholders understand how to best use this feedback, it's important to identify which alerts open cases and define the triage expectations.

Carefully consider which alerts should trigger cases.

Cases can help to improve coordination between units, student experience, and outcomes tracking, but they are not always the right approach. Some alerts may provide useful information to those viewing the student's profile, but may not require immediate, specific attention. Determine and modify case triggers based on staff capacity and alerts volume.

Create the Triage Map before configuring Navigate Alerts functionality.

On the next page is a larger, blank Triage Map, which can be used to outline your decisions. The blank map also includes additional columns for configuration-related decisions.

Triage Map

Key Considerations

- ***Do you have capacity to address all generated cases?*** Only open cases that staff can address in a timely manner
- ***Will follow-up likely involve multiple units?*** Cases coordinate multiple points of contact in Navigate
- ***Does actionable follow-up require direct contact with the student?*** Do not open a case if you can directly send student relevant resources
- ***Do you have use for reporting?*** Do not open a case unless you have a specific use for data or reporting

Example

Alert Reason	Initial Response Time	Case Assigned To	Ideal Intervention
In Danger of Failing	24 hrs	Tutor	Discuss with student importance of making satisfactory progress in course; Co-create academic plan for improvement; facilitate connection to appropriate campus resources; review class expectations with student; set up plan of action along with follow up steps
Pattern of Low Grades			
Student May Drop Class	24 hrs	Advisor	Discuss desire to drop course; explore pros and cons of dropping a course; consider/develop course recovery plan; determine impact on graduation timeline; set up plan of action along with follow up steps
Low Attendance	24-48 hrs	Advisor	Discuss number of absences or punctuality issues; review course attendance policy and impact on academic progress within course
Expressed Financial Concerns/ Hardships	24 hrs	Fin Aid Director	Discuss financial concerns; explore financial support options as appropriate; set up plan of action along with follow up steps

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Triage Map

Alert Reason	***Issue Alert (Y/N)***	***Progress Reports (Y/N)***	***Creates Case (Y/N)***	***Care Unit***	**Initial Response Time**	**Case Assigned To**	**Ideal Intervention**

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Pathways Playbook

TOOL

5

Use the following worksheet to outline each intervention pathway, focusing on complex, multi-disciplinary interventions.

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Create a clear playbook to guide complex and multi-stakeholder intervention pathways.

Interventions are not always simple, and some may require involvement from multiple units. Once you've identified which Alert Reasons should open Cases, use this chart to outline the complete Intervention Pathway for each situation.

Carefully consider all aspects of the Intervention Pathway.

Across the top, list all stakeholders involved in that specific Intervention Pathway. When necessary, add columns for additional stakeholders, but note that more handoffs can increase the complexity of the Pathway.

In the white boxes, write out the key activities for each step of the Pathway, corresponding to the column of the appropriate owner. Add and move boxes as needed.

Use arrows to denote pathway directions, especially when multiple scenarios are possible.

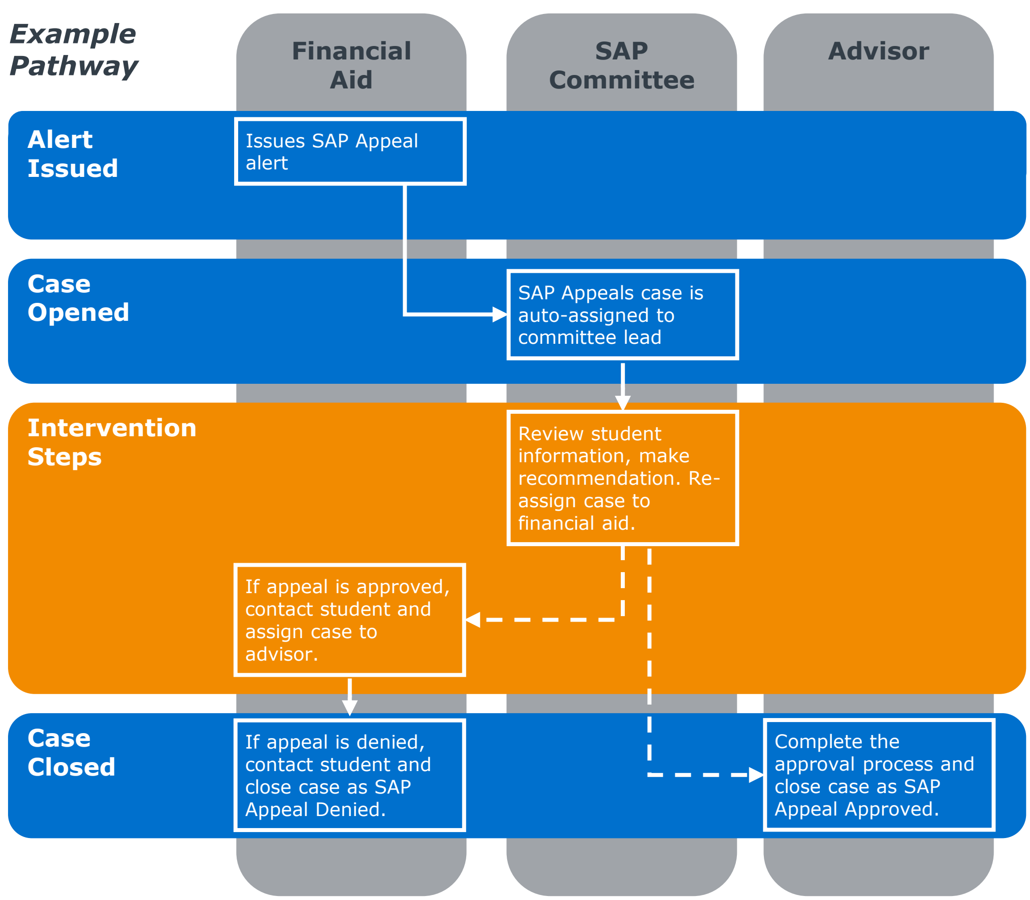
Create one chart for each Intervention Pathway.

On the next page is a larger, blank chart, which can be copied and filled out for each pathway in your Playbook. Move and add boxes and arrows as needed.

Triage Map

Key Considerations

- ***Student Outreach***:
  - Personalize your communication with students
  - Lead conversations with support, build up to options to consider
  - Co-create plans of action with reasonable follow up steps
- ***Technology-Enabled Coordination***:
  - If brought into a case, keep team in the loop by updating case notes
  - Loop in campus colleagues as appropriate; be sure to note why they have been brought into the case and how they can assist within the case management notes
- ***Closing the Loop***:
  - Notate outreach, scheduled meetings, discussions and follow up actions within your notes; offer brief summary within the comment field of the case closed section
  - Keep alert issuers in the loop



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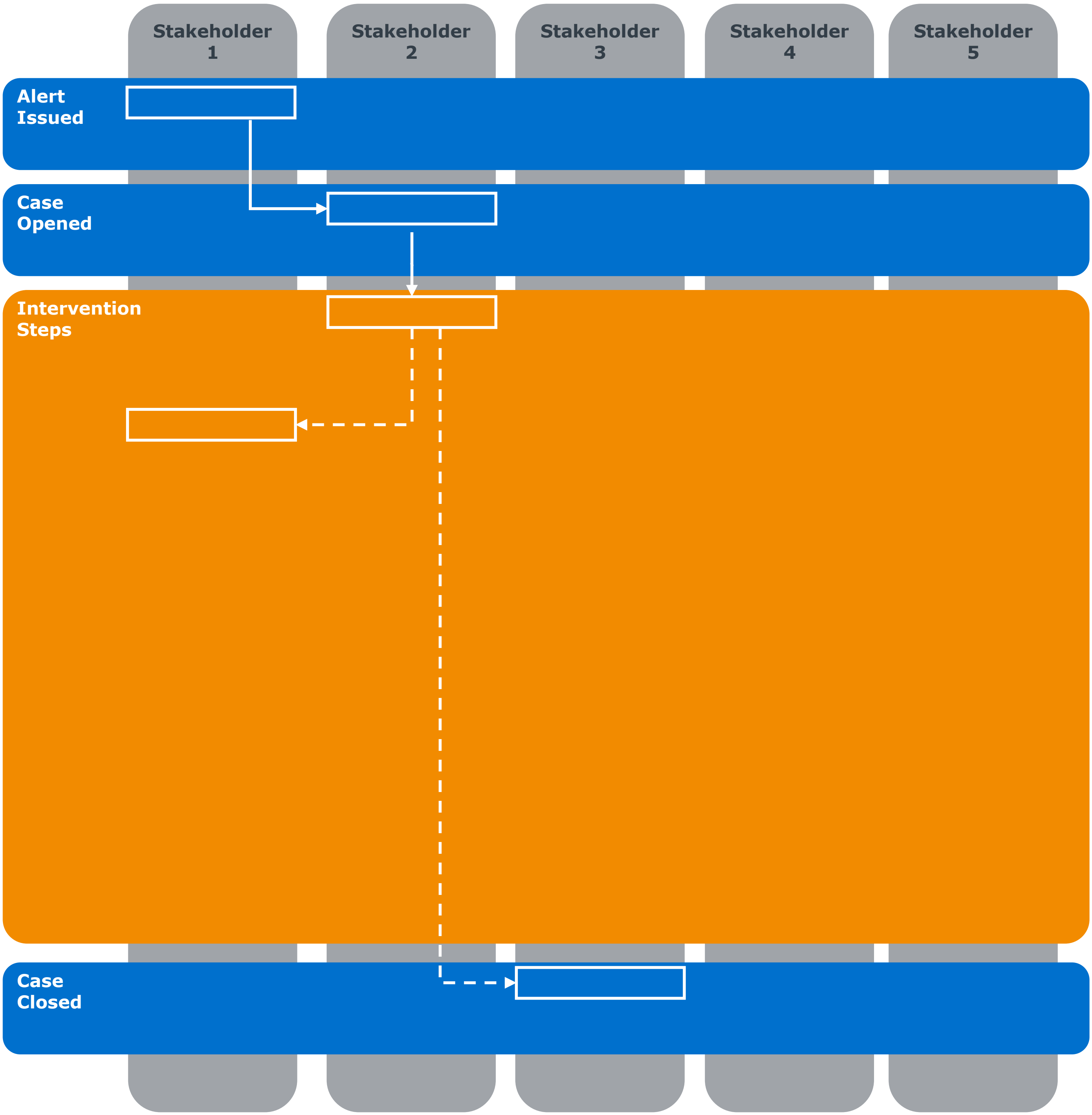
Pathways Playbook

Alert Reason:



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