

CHAPTER ONE:

INTRODUCTION TO CASE MANAGEMENT

CHAPTER OBJECTIVES

- I. Case Management Defined
 - A. Describe the context in which human service delivery occurs today.
 - B. Differentiate between traditional case management and case management today.
- II. The Process of Case Management
 - A. List the three phases of case management.
 - B. Identify the two activities of the assessment phase.
 - C. Illustrate the role of data gathering in assessment and planning.
 - D. Describe the helper's role in service coordination.
- III. Three Components of Case Management
 - A. Define case review and list its benefits.
 - B. Support the need for documentation and report writing in case management.
 - C. Trace the client's participation in the three phases of case management.
- IV. Principles and Goals of Case Management
 - A. List the principles and goals that guide the case management process.
 - B. Describe how each principle influences the delivery of services.

CHAPTER OUTLINE NOTES

Case Management Context

- The world in which managers function is changing rapidly.
- The time between policy development and implementation is much shorter.
- Many human service agencies and organizations have chosen to limit the services they provide.
- Service delivery is affected by the current economic downturn and related conditions.
- Current political climate and the role of government in human services may contribute to a sense of uncertainty.
- Case management requires providing and coordinating services for the individuals and families served.
- All plans and services focus on and build on family strengths; the ultimate goal is for the family to manage its own case.
- Treatment plans focus on needs, strengths and interests.
- Care varies from agency to agency, from helper to helper, and from client to client.
- Case management is used to coordinate and deliver services, moving an individual through the service delivery process from intake to closure.

Traditional Case Management

- In mental health service delivery in the 1970s, case management was a necessary component of service delivery because clients with complex needs required multiple services.
- A shift occurred during the 1980s as many professionals and clients objected to the use of the word “manage.”
- Terms such as service coordination and care coordination were viewed as more accurately reflecting a commitment to client involvement or empowerment.

Case Management Today

- Many effective case managers have assumed the dual role of linking/monitoring services and providing direct services.
 - This intensive case management reflects the time and financial resources committed to the client.
- Current case management characterizes an accepted way of providing human services to clients and their families.
- Professional organizations and states have developed certification on roles, responsibilities, competencies, and skills.

Case Management Defined

- *Case management*: a creative and collaborative process involving skills in assessment, communication, coordination, consulting, teaching, modeling, and advocacy that aim to enhance the optimum social functioning of the client served and positive outcomes for the agency (Commission for Case Manager Certification, 2009).
- *Case managers*: the helping professionals who perform the responsibilities of case management. Their goal is to help those who need assistance to manage their own lives and to support them when expertise is needed or a crisis occurs.

- Case management is defined and mandated through federal legislation, has become part of the services offered by insurance companies, and is now accepted by helping professionals as a way to serve long-term clients who have multiple problems.

The Process of Case Management

- The three phases of case management include assessment, planning and implementation.
- Due to increasing complexity, case managers need an extensive repertoire of knowledge, skills, techniques, and strategies.
- The responsibilities of each phase will vary depending on setting and the case manager's job description.
- The three phases represent the flow of case management rather than rigidly defined steps to successful case closure.

Case Management: Assessment

- *Assessment*: the diagnostic study of the client and the client's environment.
- The initial contact is the starting point for gathering and assessing information about the applicant to establish eligibility and evaluate the need for services.
- The case manager begins to establish a relationship and learns about the client's previous experience with helping, his/her strengths and perception of problems, the referral source, and expectations.
- Some of the routine matters addressed during the initial meeting are completing forms, gathering insurance information, outlining the purpose and services of the agency, giving assurances of confidentiality, and obtaining information releases.
- The client and case manager will become partners in reaching goals; therefore, it is important to identify and clarify their respective roles and expectations.
- The case manager must make clear that the client is to be involved in all phases of the process.
- The case manager must determine what types of information are needed, then make sense of that information.
- The client is often the primary source of information giving historical data, perceptions about the presenting problem, strengths assessment, cultural considerations, and desired outcomes.
- The client also participates as an evaluator of information, agreeing with or challenging information from other sources.

Case Management: Planning

- *Planning*: the process of determining future service delivery in an organized way.
- Once the client is accepted for services, the actual plan addresses what services will be provided and how they will be arranged, what outcomes are expected, and how success will be evaluated.
- Clarity and succinctness characterize the service plan emphasizing the client's input in the process.
- The plan lists each objective, the services needed to reach that objective, and the method(s) of checking progress.
- During planning, data is continually gathered and assessed.

Case Management: Implementation

- *Implementation*: when the service plan is carried out and evaluated.

- The case manager addresses the questions of who provides each service, how to monitor implementation, how to work with other professionals, and how to evaluate outcomes.
- The case manager must possess referral skills, knowledge of the client's capabilities, and information about community resources.
- Monitoring of services at this phase is important for several reasons: client satisfaction, effectiveness of service delivery, development of case manager's network, and personnel changes.
- Changes in the client's life circumstances may make plan modification necessary. Flexibility at this phase is pronounced.

Components of Case Management

- *Case review*: the periodic examination of a client's case.
 - Case review is an integral part of the accountability structure of an organization; its objective is to ensure effective service delivery to the client and to maintain standards of quality care and case management.
- *Documentation*: The written record of the work with the client including the initial intake, assessment of information, planning, implementation, evaluation, and termination of the case.
- *Record*: any information relating to a client's case including history, observations, examinations, diagnosis, consultations, and financial and social information. Also includes agency documents such as application forms, financial assessments, outcome assessments, case review notes, referrals, confidentiality and HIPPA documents, and transition or termination documents.
- Client participation means the client takes an active part in the process, thereby making service delivery more responsive to client needs and enhancing its effectiveness.
- An important part of this partnership is client empowerment.
- The case manager encourages the client to define his or her goals, priorities, interests, strengths, and desired outcomes.
- Encouraging client participation has identifiable components: initial contact, the middle phase devoted to identifying problems and implementing services, and termination of the case.

Integration of Services

- *Whole person*: acknowledging the many human dimensions that are considered in service delivery (social, psychological, medical financial, educational, and vocational).
- Clients typically have problems in more than one area.
- Multi-problem clients are best served by integrating the needed services.
- To address multiple needs, case managers integrate the work of many agencies and professionals, which helps to reduce fragmentation and duplication.
- Integrated services facilitate effective priority setting and encourage positive interaction among the services provided.

Continuity of Care

- *Continuity of care*: refers to the comprehensiveness of the care provided.
- Services are provided to the client uninterrupted from the first phone call to termination and often beyond.
- Care may begin before the first visit (welcoming phone calls or letters) and extend beyond termination (short-term assistance or advice).

- Continuity also involves therapeutic intervention along with support in the environment, maintaining a relationship with the client's family and significant others, crisis intervention, and social networking beyond the mere linking of services.

Equal Access to Services/Advocacy

- *Equal access to services*: Everyone in need of assistance has the same opportunity to approach, apply for, and use case management services without regard to ethnicity, race, religion, sexual orientation, socioeconomic class, or disability.
- Attention is given to developing ways to extend access to services, such as fee waivers, transportation, and outreach efforts.
- Eligibility must be defined so as to include those who lack traditional economic, social, and political access.
- *Advocacy*: the act or process of representing the interests of the client and teaching the client to advocate for him/herself.

Quality Care

- *Quality care*: providing superior services to all clients and maintaining a commitment that respects the rights of the client and demands accountability on the part of human service professionals.
- Effectiveness means getting results; efficiency is using available resources wisely.
- The productive use of resources involves determining the outcomes desired and developing a plan to achieve those outcomes.

Client Empowerment

- *Client empowerment*: respecting clients as individuals, building on their strengths and interests, placing them in a partnership role, and moving them toward self-sufficiency.
- Respect for the client stems from the long-standing belief that all individuals, regardless of their needs or disabilities, have integrity and worth.
- The goal is to develop self-sufficiency so that the client can manage his or her own life without depending on the human service delivery system.

Self-Determination

- *Self-determination*: allowing clients, whenever possible, to choose goals and interventions.
- This commitment to the client engenders an attitude of respect to the client and to the client's need for services.
- Critical information includes knowledge about available resources, financial constraints, and services that are not available.
- Clients may need to be taught decision-making or problem-solving skills.

Evaluation

- *Evaluation*: the assessment of the process, the outcomes, and the quality of the process.
- Evaluation takes place throughout the case management process.
- Both clients and professionals are involved in the evaluation process.

CHAPTER SUMMARY NARRATIVE

Traditionally, helping professionals view linking clients to services as a process. Changes in the conceptualization of case management and the roles of case managers have been evident in the language used to describe service delivery. For example, some case managers reject their title because it implies they “manage” clients. Many prefer the job title “care coordinator.”

Today, case management occurs in three phases: assessment, planning, and implementation. Each phase of case management requires specific knowledge and skills that the case manager should possess to meet the needs of his or her client. Throughout the process of case management, flexibility and client involvement are critical as the case manager works toward the goal of client empowerment.

Case management includes three important elements: case review, report writing and documentation, and client participation. Each helps the case manager uphold the principles and goals of case management. Integration of services, continuity of care, equal access to services, quality care, client empowerment, and evaluation are principles and goals that have come from the early work of helping professionals and later federal legislation to describe current practices in case management. The process of case management is collaborative, involving the client as a partner throughout the different phases. The process is also nonlinear; the case manager must be able to reassess the strengths and needs of the client depending on the changing contexts of the client’s life. The case manager must continuously strive toward upholding the principles of case management to provide the most helpful and supportive services.

CHAPTER TEST QUESTIONS

Objective Questions

For each question, choose the **best** answer.

1. Case management service delivery is different today when compared to case management in the 1970s and 1980s because:
- I. agencies are limiting the services they provide.
 - II. client participation is kept to a minimum.
 - III. evaluation of services occurs after termination.
 - IV. case managers need more skills to meet client needs.
- A. I, II and III
 - B. III and IV
 - C. I and IV
 - D. I, III and IV

ANS: C

REF: *Case Management Defined (pp. 4-5)*

2. The term “service coordination” was first used to describe the process of case management during which decade?
- A. 1980s
 - B. 1970s
 - C. 2000s
 - D. 1990s

ANS: A

REF: *Case Management Defined (p. 6)*

3. Many helpers in human services agencies object to the term “case management” because:
- I. they believe they do more than just manage cases.
 - II. they think case management only occurs during the implementation phase.
 - III. they think the term may cause resentment in clients.
 - IV. they don’t like thinking of their clients as cases.
- A. I, II and IV
 - B. II, III and IV
 - C. I, III and IV
 - D. I, II, III, and IV

ANS: C

REF: *Case Management Defined (p. 7-8)*

4. The ultimate goal of case management is to:

- A. diagnose the client and study the client's environment.
- B. establish eligibility and evaluate the need for services.
- C. assess the quality of the services the client receives.
- D. empower clients to manage their own lives.

ANS: D

REF: *The Process of Case Management (p. 10)*

5. The process of case management includes:
- A. assessment, planning, and implementation.
 - B. assessment, referral, and evaluation.
 - C. planning, referral, and evaluation.
 - D. referral, implementations, and evaluation.

ANS: A

REF: *The Process of Case Management (p. 9)*

6. The initial contact between a case manager and an individual who is seeking services is a time when:
- A. the case manager begins to develop a plan of service for the individual.
 - B. the case manager makes arrangements for services needed by the individual.
 - C. the case manager gathers basic information and gets to know the individual.
 - D. the case manager provides a therapeutic intervention to meet the needs of the individual.

ANS: C

REF: *The Process of Case Management (p. 15)*

7. During the first phase of the case management process, the case manager should attempt to:
- A. evaluate the effectiveness of case management.
 - B. demystify the process of case management.
 - C. develop ways to extend access of services.
 - D. teach the client to advocate for him- or herself.

ANS: B

REF: *The Process of Case Management (p. 14)*

8. "The process of determining future service delivery in an organized way" describes which phase of case management?
- A. Planning
 - B. Evaluation
 - C. Assessment
 - D. Implementation

ANS: A

REF: *The Process of Case Management (p. 20)*

9. Client participation in the case management process is important during:
- A. the evaluation of services.
 - B. all of the phases of case management.
 - C. the implementation of the service plan.
 - D. the initial contact with the case manager.

ANS: B

REF: *The Process of Case Management (pp. 18-19)*

10. The case manager should monitor the delivery of services during which phase?
- A. Planning
 - B. Implementation
 - C. Referral
 - D. Evaluation

ANS: B

REF: *The Process of Case Management (p. 23)*

11. Documentation is an important part of:
- A. consultations.
 - B. case review.
 - C. crisis intervention.
 - D. holistic treatment.

ANS: B

REF: *Three Components of Case Management (p. 25)*

12. When service delivery begins, the case manager's tasks are:
- A. identifying who will provide services, and when services will be provided.
 - B. to assess the process, outcomes, and quality of the process.
 - C. providing services or overseeing service delivery.
 - D. determining eligibility for services or making referrals.

ANS: C

REF: *The Process of Case Management (p. 23)*

13. The guiding principles of case management include which of the following?
- I. Integration of services
 - II. Cost containment
 - III. Equal access/advocacy
 - IV. Client empowerment

- A. I, II and IV
- B. I, III and IV
- C. II and III
- D. III and IV

ANS: B

REF: *Principles and Goals of Case Management (p. 27)*

14. In case management, service should be comprehensive and uninterrupted. This reflects the principle of:
- A. continuity of care.
 - B. equal access to services/advocacy.
 - C. client empowerment.
 - D. quality of care.

ANS: A

REF: *Principles and Goals of Case Management (p. 29)*

15. The process of representing the interests of the client and teaching the client how to represent his or her own interests is called:
- A. self-determination.
 - B. referring.
 - C. integration.
 - D. advocacy.

ANS: D

REF: *Principles and Goals of Case Management (p. 30)*

16. “Equal access to services/advocacy” means:
- A. everyone in need of assistance has the same opportunity to approach, apply for, and use case management services.
 - B. services are provided to the client uninterrupted from the first phone call to termination and often beyond.
 - C. plans are designed so that each service enhances and supports other efforts.
 - D. clients are respected as individuals by building on their strengths and placing them in partnership roles.

ANS: A

REF: *Principles and Goals of Case Management (p. 30)*

17. “Integration of services” means:
- A. everyone in need of assistance has the same opportunity to approach, apply for, and use case management services.
 - B. services are provided to the client uninterrupted from the first phone call to termination and often beyond.

- C. plans are designed so that each service enhances and supports other efforts.
- D. clients are respected as individuals by building on their strengths and placing them in partnership roles.

ANS: C

REF: *Principles and Goals of Case Management (p. 27)*

18. “Client empowerment” means:
- A. everyone in need of assistance has the same opportunity to approach, apply for, and use case management services.
 - B. services are provided to the client uninterrupted from the first phone call to termination and often beyond.
 - C. plans are designed so that each service enhances and supports other efforts.
 - D. clients are respected as individuals by building on their strengths and placing them in partnership roles.

ANS: D

REF: *Principles and Goals of Case Management (p. 31)*

19. Human services professionals are accountable for the quality of the care they provide. It is important that care is:
- A. empowering and effective.
 - B. effective and efficient.
 - C. efficient and enthusiastic.
 - D. enthusiastic and empowering.

ANS: B

REF: *Principles and Goals of Case Management (p. 31)*

Discussion Questions

1. Compare case management in the 1970s, 1980s, 1990s, and 2000s.
2. Describe case management as you think it will be in 2020.
3. Review Deborah’s case (p. 34). How do you think her care could have been improved?

CHAPTER EXERCISES

Using the Internet, locate an agency that provides case management services. Read about that agency and answer the following questions.

1. Based upon the information provided by the Web site, what conclusions can you draw about how the agency uses the three phases of case management?
2. If you had the opportunity to talk with the staff at this agency, what questions would you ask them about their case management process?

CLASS ACTIVITIES

In-Class Activity:

Draw a large circle and write “case management” inside. Ask students to jot down all the words or phrases that come to mind when they see “case management.” Tell them this is about their perceptions, so there is no right or wrong answer. After providing time for students to brainstorm, prompt them to share some of the things they wrote down. As students share, add their words and phrases to your circle.

This activity can be used to prompt discussion and give instructor knowledge of where the students are in terms of conceptualizing case management. The instructor can also bring up this activity near the end of the course and discuss students’ growth.

Out-of-Class Activity:

One of the key terms from chapter one is client empowerment. Why is empowering clients such an important concept in case management? Think of a time in your life when someone empowered you. Describe the situation and list the empowering person’s behaviors that helped you most. What can you take from your own experience that can help you in the role of a case manager?