FIFTH EDITION

Generalist Case Management

A Method of Human Service Delivery

Marianne Woodside & Tricia McClam

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Generalist Case Management

A Method of Human Service Delivery

Marianne Woodside Tricia McClam University of Tennessee



Australia • Brazil • Mexico • Singapore • United Kingdom • United States



Generalist Case Management: A Method of Human Service Delivery, 5th Edition Marianne Woodside and Tricia McClam

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About the Authors

Together, Marianne Woodside and Tricia McClam have more than 60 years of experience in human service education, as well as many years working as practitioners in education, counseling, and vocational rehabilitation. Currently, they both hold the rank of Professor Emerita in the Department of Educational Psychology and Counseling in the College of Education, Health, and Human Sciences at the University of Tennessee. They are committed to research in teaching and learning in the human services and are the authors of several other texts, including *Introduction to Human Services; An Introduction to Human Services: Cases and Applications; The Helping Process: Assessment to Termination;* and *Interviewing: What Students Want to Know*.

Dedication

We dedicate this text to the colleagues, students, and practitioners who are committed to helping clients improve their lives.

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Preface

For us, the purpose of writing textbooks is to share with students and colleagues what we have learned about the profession of human services delivery during our years of teaching and working in the field. This philosophy guided the preparation of this fifth edition of *Generalist Case Management: A Method of Human Service Delivery*. Primary informants for this edition were educators and human service professionals, especially those working as case managers or care coordinators. Through our associations with colleagues in professional organizations and educators who used the fourth edition, we learned about current trends, challenges, and new knowledge and skills necessary for effective case management. Interviews we conducted with case managers across the United States for the past 35 years, especially those over the past 5 years, enabled us to capture their voices as they described the realities of service delivery. We believe this adds a real-world perspective to the text.

Change occurs rapidly these days, and change related to case management as a service delivery strategy is no exception. Factors affecting case management today include the economic downturn and continuing financial struggles for individuals, families, communities, and states, federal legislation, emerging client groups, technology, shifting demographics, funding challenges, new service delivery models, increasing multicultural and ethnic perspectives, and ethical and legal dilemmas. The fifth edition of *Generalist Case Management* is a major revision that reflects these changes. There are two new chapters that provide in-depth coverage of the multicultural dimensions of case management when working with diverse populations and at-risk populations and that explore the case manager's professional growth and development. Throughout the text, a client, Sharon Bello, and three of her four case managers provide first-person perspectives on their experiences of the case management process. New or expanded sections provide the reader with insights into case management as it relates to the following: the Affordable Care Act; confidentiality (minors, interpreters, technology); influences of technology (including social media) throughout the case management process; assessment and the DSM-5; networking; confronting team issues and challenges; ending or disengaging with clients; the online face of an agency; improving services through evidence-based practice, program evaluation, and quality improvement; and interorganizational collaboration.

The *Generalist Case Management* (fifth edition) text aligns with the NASW Standards for Social Work Case Management and helps students meet the standards for the Certified Social Work Case Manager (C-SWMC). The text also aligns with Human Services Board–Certified Practitioner credentials (HS-BCP) and meets most of the certification standards.

There are also updated references and examples. To help students better understand concepts, there are also new case illustrations, tables, and figures. In each chapter, we added class discussion activities that instructors and students may use in and out of class to reinforce and extend learning. We continue to integrate into our discussion of the delivery of case management services the demands related to current economic and political conditions and context. We included discussions of new trends and challenges in case management. A new emphasis on diversity in its broadest sense—ethnic, religious, gender, and lifestyle—pervades the text and reflects a central focus in one chapter. Finally, we strengthen the voice of the case manager in each chapter, providing the reader with a realistic picture of the day-to-day work.

The concept of case management is dynamic. Just as the process has changed during the past decade, so will it continue to evolve during the twenty-first century. Many factors will influence human services delivery in the future: economic instability, the managed care environment, technology, the scarcity of resources, demands for accountability, the changing political climate, and the influence of diversity. In this text, we defined and described case management as it is practiced today, but with an eye to the future.

Goals

We explored professional issues and skills related to case management and described the most up-to-date aspects of case management. In short, our goals for this text were four-fold: to define case management, to describe many

of the responsibilities that case managers assume, to discuss and illustrate the many skills that case managers need, and to describe the context in which case management occurs. Underlying these goals are the human services values and principles that guide them.

Part One, the first five chapters of Generalist Case Management: A Method of Human Service Delivery, focuses on defining case management. Chapter One begins by describing case management, outlining the process and components of the case management process, and articulating the principles and goals that guide the work. Sharon Bello's case illustrates the three phases of case management: assessment, planning, and implementation. Chapter Two expands the definition of case management by reviewing its history. The case of Sam, who was institutionalized early in childhood, illustrates how the changing definition of case management has been reflected in the care of clients. First-person accounts of clients during the early days as well as excerpts from relevant legislation enliven the history. Managed care, which has a strong influence on human services delivery today, is defined and discussed in terms of its effects on the case management process. In Chapter Three, we focus on methods of case management by answering two questions: How are case management services delivered? and Who delivers these services? Then, we describe the specific roles and responsibilities that case managers assume as they work in agencies with clients. Vignettes and cases illustrate methods, roles, and responsibilities. We discuss how case managers talk about their jobs by describing eight themes: (a) the performance of multiple roles; (b) organizational abilities; (c) communication skills; (d) setting-specific knowledge; (e) ethical decision making; (f) boundaries; (g) critical thinking; and (h) personal qualities. A discussion of ethical and legal perspectives follows in Chapter Four, which addresses specific issues and challenges relevant to this specific method of helping. Issues include confidentiality, family disagreements, working with violent clients, working in the managed care environment, the duty to warn, autonomy, legal responsibilities, and the question of when to break the rules. In Chapter Five, we introduce the multicultural dimensions of case management. We describe the concept of multicultural case management as we discuss working with diverse populations, including African Americans, Arab Americans, Asian Americans, European Americans, Latina/Latinos, Native Americans, women and men, sexual minorities, and individuals with disabilities. We also suggest ways to work with each during the case management process.

Part Two focuses on the case manager's work during the case management process. Chapters Six through Ten describe in detail the phases of the case management process. In Chapter Six, we begin to trace the case management process from the intake interview to termination. This chapter explores the assessment process in case management, including the interview process, types of interviews, issues related to confidentiality, and application and evaluation for services. Guidelines for documentation conclude the chapter. In Chapter Seven, we provide an in-depth view of the intake interview, the necessary skills, how to adapt the interviewing process to special populations, and how to interview those different from you. We also include information related to attitudes, characteristics, and skills of interviewers and pitfalls to avoid while interviewing.

Planning, the second major phase of the case management process, is introduced in Chapter Eight. Students learn useful information about how to formulate goals and objectives, how to revise a service plan, how to find resources, and how to gather additional information beyond the intake interview process. Tests and their appropriate uses are discussed, including how to prepare a client for testing. Building on the planning process, Chapter Nine describes the case file and explains its multiple components, such as physical examinations, psychological evaluations, social histories, and testing. All of this information is useful to build a comprehensive view of the client. Chapter Ten describes the third phase of case management, that of service coordination. The chapter focuses on the case manager's interaction with other colleagues, including how to establish a professional network. A discussion of service coordination explores the process, including referrals and effective communication with other professionals, especially as it relates to our expanded use of technology. This chapter also examines how to work effectively as a team member and as a team leader, and it describes challenges and issues that may occur when working in teams and how to address these. Finally this chapter introduces the realities of disengaging in services with clients and suggests ways to do so effectively.

Part Three includes two chapters that focus on the context of case management work and self-directed and others-directed professional growth and development. In Chapter Eleven, we introduce concepts such as organizational structure and climate, budgeting, and the commitment to evidence-based practice, program evaluation, and quality care. A section on interorganizational teamwork helps you better understand the ways in which organizations work together and the struggles they face. Chapter Twelve concludes the text with a discussion of how the case manager begins and sustains professional growth and development. Focusing on both self-directed and others-directed professional development, you will learn about the need for survival skills to counter burnout, traumatic victimization, and compassion fatigue. These include time management and assertiveness. The focus on professional growth includes a discussion on supervision, wellness and self-care, and continuing education. The chapter introduces the concept of advocacy and describes how case managers may become involved in individual, community, and policy advocacy. The chapter ends with a discussion of leadership and introduces a new model of case management called adaptive social service leadership, which will help case managers respond to the dynamic nature of social services in today's world.

Features

This edition of *Generalist Case Management: A Method of Human Service Delivery* incorporates many aspects present in the fourth edition and introduces new features designed to provide a realistic and current view of case management and to maintain student interest. The following features are present in the fourth edition.

CASE MANAGEMENT AS A PROCESS

Each chapter of the text builds on the next. Understanding case management and the roles and responsibilities of the case manager becomes a dynamic process as students learn to define the concepts, understand the process from assessment to termination, and study the context in which the work takes place. To illustrate the process, we introduce Sharon Bello, a client receiving case management services. She and three of her four case managers add their voices as they describe their experiences of the case management process.

PRACTITIONER QUOTES

Throughout the text, quotes from interviews with case managers illustrate the aspects of the case management process and the ways the concepts occur within the context of service delivery. The practitioners represented in this text reaffirm the use of case management in a variety of settings (e.g., education, vocational rehabilitation, child and family services, mental health, corrections, substance abuse) and various populations (e.g., aging, veterans, homeless, children and youth, mentally ill).

VIGNETTES AND CASE EXAMPLES

Each chapter includes multiple vignettes and case examples to expand student understanding of the concepts introduced. For example, in Chapter Six, we read about "Pops" Bellini's report of his mental status exam; in Chapter Seven, Tom Rozanski interviewed Jonathan Douglass, a youth involved in the criminal justice system. We met Rube Manning, an adult parolee attempting to integrate into society after release from prison, in Chapter Nine. In Chapter Eleven, Carlotta Sanchez, who works for the Sexual Assault Crisis Center in a city of 400,000, has just begun her responsibilities as a case manager for the agency.

DEEPENING YOUR KNOWLEDGE: CASE STUDY

At the end of most chapters, a case study helps students apply concepts to practice. At the end of each case study, there are questions to guide student learning. We believe the case and questions will also provide the basis for a classroom activity.

VOICES FROM THE FIELD: RESEARCH AND PRACTICE

This section links the student with current case management practices of the government, agencies, and private practice. The purpose of Voices From the Field is to expose students to how text material translates into practice in the real world. For example, in Chapter Three, we introduce The Reach to Recovery International Network's mission, which is "addressing potential violence in the workplace." We also include the Occupational Safety and Health Administration (OSHA) *Guidelines for Preventing Workplace Violence for Health Care and Social Service Workers*

(2004). Federal government guidelines for promoting quality health care, stemming from the Affordable Health Care Act, illustrate the commitment to quality discussed in Chapter Eleven.

WANT MORE INFORMATION?

Students are familiar with the Internet as a source of information. This section targets one concept in each chapter and provides ways that students may further investigate the most current practices in case management. For example, Chapter Three's "Want to Know More" feature asks students to search the terms "case management roles," "case management responsibilities," and "case management jobs." Chapter Nine's Want to Know More section focuses on social history formats used in the state of North Carolina.

STUDENT INSTRUCTIONAL SUPPORT

In each chapter, organizational and study materials frame the content. At the beginning of each chapter, we list objectives. At the conclusion of each chapter, students may review summaries of the chapter, review key terms, and answer questions to review their learning.

New Features

ALIGNMENT WITH NASW AND HUMAN SERVICES STANDARDS

This text aligns with the NASW Standards for Social Work Case Management and helps students meet the standards for the Certified Social Work Case Manager (C-SWMC). The text also aligns with Human Services Board–Certified Practitioner (HS-BCP) credentials and meets most of the certification standards. There is a table in the text that describes the alignment by chapter and standard.

FIRST-PERSON ACCOUNTS

As described, Sharon Bello and her four case managers provide us with an inside look at case management from the perspectives of the client and the professional. We follow these individuals from Chapters One through Twelve as they share about their lives and their work during this process.

MULTICULTURAL PERSPECTIVES

The fifth edition of the *Generalist Case Management* text reinforces today's need to consider each case management encounter as multicultural. We added a chapter to help students gain a multicultural perspective. Chapter Five discusses working with diverse populations, including the populations of African Americans, Arab Americans, Asian Americans, European Americans, Latina/Latinos, Native Americans, women and men, sexual minorities, and individuals with disabilities, and suggests ways to work with each during the case management process.

In addition, each chapter provides guidelines for performing case management within an increasingly diverse society. For example, in Chapter Six, we include ways for clients to evaluate the cultural competence of the case manager. Topics ranging from a culturally sensitive medical examination to considerations of culture when taking a social history provide specific ways that the case manager may assume a multicultural stance.

CASE MANAGEMENT AND WORKING WITH AT-RISK POPULATIONS

In MindTap, we present populations at risk. Those populations include children, individuals with HIV, individuals with serious mental illness (SMI), individuals with substance use disorders (SUD), individuals within the correctional system, refugees, and seniors. These sections were written by individuals who are experts working with each population. Topics for each population include an explanation of at-risk status, goals and treatment, barriers and challenges, ethical and cultural challenges, and stories of successes.

ENDING THE CASE MANAGEMENT PROCESS (DISENGAGEMENT)

In Chapter Ten, there is a new section focused on the end of the case management process. We describe the place of ending services in the case management process, list the steps used to end client services, identity why

clients may need to be transferred from one professional to another, describe the transfer process, and discuss the purpose of a discharge plan. The information in this section also links to sections on client referral in the same chapter and also program improvement in Chapter Eleven.

THE CASE MANAGER'S GROWTH AND DEVELOPMENT

Chapter Twelve concludes the text with a discussion of how the case manager begins and sustains professional growth and development. Focusing on both self-directed and others-directed professional development, you will learn about the need for survival skills to counter burnout, traumatic victimization, and compassion fatigue. These include time management and assertiveness. The focus on professional growth includes a discussion on supervision, wellness and self-care, and continuing education. The chapter introduces the concept of advocacy and describes how case managers may become involved in individual, community, and policy advocacy. The chapter ends with a discussion of leadership and introduces a new model of case management, adaptive social service leadership, that will help case managers respond to the dynamic nature of social services in today's world.

NEW OR EXPANDED SECTIONS

New or expanded sections provide the reader with insights into case management as it relates to the following: the Affordable Care Act; confidentiality (minors, interpreters, technology); influences of technology (including social media) throughout the case management process; assessment and the DSM-5; networking; confronting team issues and challenges; ending or disengaging with clients; the online face of an agency; improving services through evidence-based practice, program evaluation, and quality improvement; and interorganizational collaboration.

CLASS DISCUSSIONS

Throughout each chapter, we include opportunities for skills development and reflection. These can be used for individual work, small group work, or class discussion. For example, a class discussion activity related to ethics in Chapter Four asks students to choose three ethical standards from the Code of Ethics of the National Association of Social Workers and three standards from the Ethical Standards for Human Service Professionals and then to describe three ways that they might apply these standards when working as a case manager. Students are also asked to provide an illustration for each. Finally, they are asked about the challenges of following the six standards chosen.

NEW FIGURES AND TABLES

We have added new figures and tables to each chapter. Adding these provides students with a visual illustration or a way to organize the concepts presented. For example, in Chapter Three we added a table that organizes methods of service delivery by how the services are delivered and who delivers the services. In Chapter Ten, we added a table to help students structure a professional development plan.

INSTRUCTOR AND STUDENT SUPPORT: MINDTAP

Instructors and students will have the class discussions suggested in each chapter. Students will also have available the following review materials at the end of each chapter: chapter summary, key terms, chapter review, and questions for discussion. Instructors will have access to PowerPoint presentations, a test bank, web quizzes, and additional materials through MindTap. One more chapter has been added in MindTap only that is Chapter Thirteen.

Conclusion

We hope that you and your students benefit from *Generalist Case Management*, fifth edition. It was a pleasure to update. We learned so much about case management as it is practiced today, and we pass this new understanding on to you.

Acknowledgments

Many people contributed to the undertaking of this text, and we would be remiss if we failed to acknowledge them. Our colleagues in the National Organization for Human Service and the Council for Standards in Human Service Education have encouraged and supported our efforts to investigate case management by offering suggestions, reviewing materials, and sending information. Chris Morgan prepared many of the Deepening Your Knowledge: Case Study sections. We thank Katie, Ellen, Sara, Jessica, Brittany, and Jennifer, who provided their expertise related to case management. We also thank Brittany, Dareen, Denis, Ellen, Nina, and Whitney, who provided their experience and knowledge working with at-risk populations. This information is available in MindTap.

The case managers who we interviewed over the past 35 years made many contributions to this book. They shared their time, experiences, successes, and failures to enlighten us about the complexities of case management. It is their words that give this text a firm grounding in reality. Among their contributions are definitions of case management, perspectives on the components of the process, and evidence of the trends and challenges that the future holds. Most of all, we thank them for helping us understand the dynamics of the rich and varied process of case management.

Throughout our careers we have valued the review process. The comments and suggestions of the copyeditor, Heather Turner were critical to the development of this text. As they read the printed version, we hope they will be able to see how their unique contributions have improved the text.

Of course, our friends at Cengage Learning deserve our thanks. The expertise and assistance of Ellie Raissi were central to the project.

Last, but not least, we thank our families for their support during this effort. We have spouses who encourage our writing and support us in our academic endeavors.

As the field of human services continues to grow and develop, we look forward to hearing from you. We hope you will share with us your observations and experiences with case management in the field, as well as your reactions to this text. Please send us your comments.

Marianne Woodside Tricia McClam

PART ONE

Introduction to Case Management

Part One, the first five chapters of Generalist Case Management: A Method of Human Service Delivery, fifth edition, focuses on defining case management. Chapter One begins by describing case management, outlining the components of the case management process, and articulating the principles and goals that guide the work. Sharon Bello's case illustrates the three phases of case management: assessment, planning, and implementation. Chapter Two expands the definition of case management by reviewing its history. The case of Sam, who was institutionalized early in childhood, illustrates how the changing definition of case management has been reflected in the care of clients. First-person accounts of clients in the early days as well as excerpts from relevant legislation enliven the history. Managed care, which has a strong influence on human service delivery today, is defined and discussed in terms of its effects on the case management process. In Chapter Three, we focus on methods of case management by answering two questions: How are case management services delivered? and Who delivers these services? Then, we describe the specific roles and responsibilities that case managers assume as they work in agencies with clients. Vignettes and cases illustrate methods, roles, and responsibilities. We discuss how case managers talk about their jobs by describing eight themes: (a) the performance of multiple roles; (b) organizational abilities; (c) communication skills; (d) setting-specific knowledge; (e) ethical decision-making; (f) boundaries; (g) critical thinking; and (h) personal qualities. A discussion of ethical and legal perspectives follows in Chapter Four, which addresses specific issues and challenges relevant to this specific method of helping. Issues include confidentiality, family disagreements, working with violent clients, working in the managed care environment, the duty to warn, autonomy, legal responsibilities, and the question of when to break the rules. In Chapter Five, we discuss working with diverse populations and introduce the populations of African Americans, Arab Americans, Asian Americans, European Americans, Latina/Latinos, Native Americans, women and men, sexual minorities, and individuals with disabilities. We also suggest ways to work with each during the case management process.

Chapter 1

Introduction to Case Management

- Chapter One addresses Standards for Social Work Case Management. Standard 1, Knowledge, Ethics, and Values, focuses on values that undergird case management. Standard 2 focuses on qualifications outlining the C-SWCM credentialing standards.
- Chapter One addresses Human Service–Certified Board Practitioner Competency 4, Case Management, and focuses on values that undergird case management.

The case manager's job is to make sure clients are thriving in their environment, and everyone is safe and healthy.

-From Ellen Carruth, 2015, text from unpublished interview.

This chapter introduces you to the subject of case management and presents three components of the case management process that guide many helping professionals who work in human service delivery. Focus your reading and study on the following objectives.

CASE MANAGEMENT DEFINED

- Describe the context in which human service delivery occurs today.
- Differentiate between traditional case management and case management today.

THE PROCESS OF CASE MANAGEMENT

- List the three phases of case management.
- Identify the two activities of the assessment phase.
- Illustrate the role of data gathering in assessment and planning.
- Describe the helper's role in service coordination.

THREE COMPONENTS OF CASE MANAGEMENT

- Define case review and list its benefits.
- Describe why there is the need for documentation and report writing in case management.
- Trace the client's participation in the three phases of case management.

PRINCIPLES AND GOALS OF CASE MANAGEMENT

- List the principles and goals that guide the case management process.
- Describe how each principle influences the delivery of services.

Case Management Defined

In this chapter, we present to you the concept of case management related to the delivery of services to those in need. Before we begin defining case management, we introduce you to a client who needs and is now receiving case management services. This client, Sharon Bello, is in her mid-30s. She is biracial, her mother is African American, and her Hispanic father is deceased. In this chapter, we meet her for the first time and we outline the use of case management services throughout the text. Before we describe her involvement in the human service system, we want you to hear from her.

Introduction

Now that you have met Sharon, let us focus on gaining an introductory understanding of case management. The world in which case managers function is changing rapidly. The dynamic nature of case management work relates to the continued developments in technology, client needs, and financial support for providing services. For example, related to technology, client tracking systems, the electronic transfer of records, and the expanded use of the Internet and rapid communication such

STORY Sharon Bello, Entry 1.1

When Marianne first asked if I would be willing to tell my story throughout her case management textbook, I was not sure what to say. I live in a neighborhood in the city where outsiders usually don't want to hear from us. The neighborhood is close knit and a few of us have lived here for a long time. I also was not sure I wanted to tell my story. There are parts of it that are so sad, things happened that I will never get over. But Marianne says that the students who read this text will learn from my experiences and get a better understanding of the help I am receiving. Of course my getting help took a really long time to happen.

I am not quite sure where to begin. I can tell you a little about my early life, but I suspect you want to hear more about my adult life. And we have the entire book to walk through my story, so I know all I have to do is to begin it right now. I also worried about my writing, but Marianne said that she would help my writing make sense to you.

I was born in a large city in the United States. I am 35 now. When I was born, my mom and my dad lived in a housing project with many of our family and friends. My mom was African American. She met my dad when her family took her to Miami to visit family. My grandparents were not happy when my mom and my dad got married. My dad was from El Salvador. In those days a daughter did not marry out of her race. Both families thought the marriage was a mistake because there were too many differences between the two teens. My parents decided to choose a large city to live in. They thought their interracial marriage would be better received in a large city. My parents had children early. My first brother was born a year after they were married. My twin brother and I were born a year later. One of the saddest days of my life was when my father died in a power plant explosion. I say one of saddest days in my life because there is even more to tell.

I still live in the house where I was born. I have seen a lot of changes in the neighborhood over the years. The neighborhood has changed, suffering ups and downs. The types of people who live here are different than when I was growing up. The neighborhood has been a nice place to live but now is not very safe. Everyone I know is having difficulty making ends meet. I live with my mother and my two daughters. Over the last 5 years I have lost both of my sons to violence. Those losses plus my inability to find and hold a job—I guess that is why I am going to be telling my story. And the fact that one of my friends discovered that the city vocational rehabilitation services might help me. At the heart of this service is my case manager, or the many case managers that I have had. Since the topic of this book is case management, now you know why Marianne thinks my story is important for you to hear.

as social media influence how professionals perform their case management responsibilities. Client populations expand and change with an increasing number of dual-diagnosis clients, growing needs of foreign-born populations, and shifting in the country's demographics. In addition, social services continue to function with even fewer resources, adjustments to services related to the change in health care policy and provisions, and the question of how much help should be available to those who need it. Hence, the current service delivery is vastly different from that of a few years ago. One result is that the time between policy development and implementation is much shorter. Another is that many human service agencies and organizations have chosen to limit the services they provide. More and more, case managers need skills in teamwork, networking, referral, and coordination to obtain the services clients need. Case managers also need to understand how to function in a bureaucratic and organizational context. And they need to understand how to advocate for their clients at various levels. All this takes place in a constellation of service providers that continues to grow and change.

Service delivery is affected by the past economic downturn of 2009 and the negative economic climate resulting in an expanding number of individuals, families, and communities needing help and