



### **Case Management Principles**

**Principle 1:** CM shall endeavor to place the public interest above their own at all times.

**Principle 2:** CM shall respect the integrity and protect the welfare of those persons or groups with whom they are working.

**Principle 3:** CM shall always maintain objectivity in their relationships with clients.

**Principle 4:** CM shall act with integrity in dealing with other professionals so as to facilitate their contributions with respect to achieving maximum benefits for the client.

**Principle 5:** CM shall keep their technical competency at a level, which ensures their clients will receive the benefit of the highest quality of service their profession can offer that is consistent with the client's conditions and circumstances.

**Principle 6:** CM shall honor the integrity and respect the limitations placed on the use of the CCM designation.

**Principle 7:** CM shall obey all laws and regulations, avoiding any conduct or activity that could harm others.

**Principle 8:** CM shall help maintain the integrity of the Code of Professional Conduct for Case Managers.

**Principle 9:** To positively impact and improve patient well-being and healthcare outcomes.

## **SCOPE OF PRACTICE FOR CASE MANAGERS**

### **I. Assumptions**

- Case management is not a profession in itself but rather an area of practice within one's profession. It is collaborative and trans-disciplinary in nature.
- CM possesses the education, skills, moral character, and experience required to render appropriate services based on sound principles of practice.
- CM shall practice only within the boundaries of their competence, based on their education, training, appropriate professional experience, and other professional credentials. They shall not misrepresent their role or competence to clients.

### **II. Underlying Values**

- Belief that case management is a means for achieving client wellness and autonomy through advocacy, communication, education, identification of service resources, and service facilitation.
- Recognition of the dignity, worth and rights of all people.
- Understanding and commitment to quality outcomes for clients, appropriate use of resources, and the empowerment of clients in a manner that is supportive and objective.
- Belief in the underlying premise that when the individual reaches the optimum level of wellness and functional capability, everyone benefits: the individuals being served, their support systems, and the health care delivery systems
- Recognition that case management is guided by the principles of autonomy, beneficence, justice, veracity and distributive justice.

### **III. Definition of Case Management**

- Case management is a collaborative process that assesses, plans, implements, coordinates, monitors, and evaluates the options and services required to meet an individual's health needs, using communication and available resources to promote quality, cost-effective outcomes.

### **IV. Ethical Issues**

- Because case management exists in an environment that looks to it as a solution for many of the problems in the health care delivery and payer systems, case managers frequently find themselves in ethical dilemmas. Each case manager must abide by the Code of Professional Conduct for Case Managers as well as by the professional code of ethics of their specific profession for guidance and support in the resolution of these conflicts.

### **V. Selected Definitions**

- Assessment - The process of collecting in-depth information about a person's situation and functioning to identify individual needs in order to develop a comprehensive case management plan that will address those needs. In addition to direct client contact, information should be gathered from other relevant sources (patient/client, professional caregivers, non-professional caregivers, employers, health records, educational/military records, etc.).

- **Autonomy** - A form of personal liberty of action when the individual determines his or her own course of action in accordance with a plan chosen by himself or herself.
- **Beneficence** - The obligation or duty to promote good, to further a person's legitimate interests, and to actively prevent or remove from harm.
- **Coordination** - The process of organizing, securing, integrating, and modifying the resources necessary to accomplish the goals set forth in the case management plan.
- **Distributive Justice** - Deals with the moral basis for dissemination of goods and evils, burdens and benefits.
- **Evaluation** - The process, repeated at appropriate intervals, of determining the case management plan's effectiveness in reaching desired outcomes and goals. This might lead to a modification or change in the case management plan in its entirety or in any of its component parts.
- **Implementation** - The process of executing specific case management activities and/or interventions that will lead to accomplishing the goals set forth in the case management plan.
- **Justice** - Maintenance of what is right and fair.
- **Monitoring** - The ongoing process of gathering sufficient information from all relevant sources about the case management plan and its activities and/or services to enable the case manager to determine the plan's effectiveness.
- **Nonmaleficence** - Refraining from doing harm to others.
- **Planning** - The process of determining specific objectives, goals, and actions designed to meet the client's needs as identified through the assessment process. The plan should be action-oriented and time-specific.
- **Veracity** - Truth telling.

## **GUIDELINES FOR PROFESSIONAL CONDUCT**

### **Representation of Practice**

- CM shall practice only within the boundaries of their competence, based on their education, training, appropriate professional experience, and other professional credentials. They shall not misrepresent their role or competence to clients.

### **Competence**

CM shall not:

- a) handle or neglect a case in such a manner that constitutes gross negligence (which for the purposes of this guideline shall mean willful, wanton or reckless disregard of the CM's obligations and responsibilities).
- b) exert undue influence that adversely affects the outcome of case management services to the client.
- c) exhibit a pattern of negligence or neglect in the handling of the CM's obligations or responsibilities.

### **Description of Services**

- CM's shall explain services to be provided to the extent reasonably necessary to permit the client to make informed decisions, understand the purpose, techniques, rules, procedures, expected outcomes, and limitations of the services rendered and identify to whom and for what purpose the results of the services will be communicated.

### **Objectivity**

- CM's shall maintain objectivity in their professional relationships and shall not impose their values on their clients.

### **Relationships with Clients**

- CM's shall not enter into any relationship with any client, business, personal or otherwise, that will interfere with the CM's professional objectivity.

### **Confidentiality**

- CM's shall be knowledgeable about and act in accordance with federal, state, and local laws and procedures related to the scope of their practices regarding client consent, confidentiality, and the release of information.

### **Confidentiality: Disclosure**

- CM's shall inform the client, at the outset of the client relationship, that any information
- obtained through the relationship may be disclosed to third parties. Disclosure of information shall be made only to clients, service providers, and limited to what is
- necessary and relevant.

**Confidentiality: Client Identity**

- CM's shall maintain the confidentiality of the identity of the client when using data for training, research, publication, and/or marketing unless a written release regarding this use is obtained from the client.

**Confidentiality: Records**

- CM's shall maintain client records, whether written, computerized, or stored in any other medium, in a manner designed to ensure confidentiality.

**Reports**

- CM's shall be accurate, honest, and unbiased in reporting the results of their professional activities to appropriate third parties, to avoid exerting undue influence upon the decision making process.

**Records: Maintenance/Storage and Disposal**

- CM's shall maintain records necessary for rendering professional services to their clients and as required by agency/institution procedures. Subsequent to file closure,
- records shall be maintained for the number of years consistent with agency requirements or for a longer period during which maintenance of such records is necessary or helpful to provide reasonably anticipated future services to the client. After that time, records shall be destroyed in a manner assuring preservation of confidentiality.

## Centralized Case Management Services

### **Examples of Essential Responsibilities and Duties:**

- To coordinate, manage and supervise the programs and activities of a centralized case management system for clients;
- To coordinate these activities with an interdisciplinary team consisting of multiple agencies; to formulate inter-local collaborative contracts with all agencies involved in the centralized case management process;
- Manage and participate in the development and implementation of goals, objectives, policies, priorities and standardized forms for the centralized case management system; recommend and administer policies and procedures.
- Plan, direct and coordinate activities necessary to centralize case management across multiple agencies with multiple disciplines.
- Manage and participate in the development and administration of the centralized case management program.
- Evaluate effectiveness of centralized case management system including services provided and client outcomes.
- Establish positive working relationships with related community agencies; provide guidance and support to agencies related to the standards of the model; attend and participate in agency and community based meetings.
- Maintain accurate records of client contact, staff activities, client service outcomes, and additional plans.
- Respond to and resolve difficult and sensitive client inquiries and complaints.
- Respond to and resolve agency complaints.
- Assistance and support for clients with GDM and/or Type II Diabetes

### **Agencies providing direct case management and personnel:**

Wilmington Community Clinic

- Medical Assistant & Nurse Practitioner

Latino Diabetes & Prevention Program

- Health Educators (BA level)

St. Mary's Medical Center OB & Prenatal Clinic

- Health Educator (BA Level)

Long Beach Department of Health and Human Services

- Public Health Nurse

Nurse Family Partnership Program

- Public Health Nurse

## **DEFINITION OF CASE MANAGEMENT**

Case management is a collaborative process that assesses, plans, implements, coordinates, monitors, and evaluates the options and services required to meet the client's health and human service needs. It is characterized by advocacy, communication, and resource management and promotes quality and cost-effective interventions and outcomes.

## **PHILOSOPHY OF CASE MANAGEMENT**

Case management is an area of specialty practice within one's health and human services profession. Its underlying premise is that everyone benefits when clients (1) reach their optimum level of wellness, self-management, and functional capability; the clients being served; their support systems; the health care delivery systems; and the various payer sources.

Case management facilitates the achievement of client wellness and autonomy through advocacy, assessment, planning, communication, education, resource management, and service facilitation. Based on the needs and values of the client, and in collaboration with all service providers, the case manager links clients with appropriate providers and resources throughout the continuum of health and human services and care settings, while ensuring that the care provided is safe, effective, client-centered, timely, efficient, and equitable. This approach achieves optimum value and desirable outcomes for all-- the clients, their support systems, the providers, and the payers.

Case management services are optimized best if offered in a climate that allows direct communication among the case manager, the client, the primary care provider, and other service delivery professionals. The case manager is able to enhance these services by maintaining the client's privacy, confidentiality, health, and safety through advocacy and adherence to ethical and regulatory standards or guidelines.