Case Management Practice Assessment Tool

*Audience: Resettlement & Integration Practitioners*
All case management programs begin somewhere.

3 Stages of the Case Management Program

Use this assessment tool to identify the current stage (Nascent, Emerging, Mature) of your volunteer program.

In the Nascent stage, the program is just coming into existence and beginning to display signs of future potential. In the Emerging stage, the program is becoming more prominent and established. In the Mature stage, the program has reached the most advanced point of development.
Directions:
Put a checkmark next to the current stage of your program in the six different sections (Client Engagement, Client Assessment, Client Planning & Goal Setting, Client Intervention, Monitoring & Evaluating Client Progress, and Case Closure) and add up your checkmarks to identify whether your program is nascent, emerging or mature.

Client Engagement

NASCENT
- Clients are seen in an ad hoc way.
- Caseworkers react to client needs without formal assessment or planning.
- Roles and responsibilities of caseworkers and other staff are not discussed.
- The caseworker does not provide information to the client on what services can be expected.
- The client does not receive information on walk-in hours or the procedure for making an appointment.

EMERGING
- Clients are screened and enrolled in relevant programs and services before being served.
- The caseworker introduces self to the client, but does not thoroughly discuss his/her role in the organization and what services are offered.
- Roles and responsibilities of caseworkers and other staff are not clear to client.
- The client knows the operating hours of the organization, but is not clear on how to make an appointment.

MATURE
- Clients are introduced to services offered by the organization.
- Clients are screened for eligibility in different programs with assistance of a trained interpreter, if needed.
- Clients are enrolled in relevant programs and services with the assistance of a trained interpreter, if needed.
- Roles and responsibilities of caseworkers and other staff are discussed. The relationship between the caseworker and the client is goal-oriented.
- Appointment and walk-in hours are clearly conveyed.
- Emergency protocols are communicated to clients, as well as the definition of an emergency.

TOTAL

TOTAL

TOTAL
Client Assessment

**NASCENT**
- A standardized assessment tool is not utilized to assess the client’s needs and capacities.
- Insufficient time is devoted to assessing the client’s needs and capacities.
- Every member of the household does not receive a thorough assessment.
- The caseworker makes assumptions about the client’s strengths and weaknesses rather than learning about these through assessment.
- The language needs of the client are not assessed.

**EMERGING**
- The caseworker reviews biographical information and verbally interviews the client to assess them.
- The caseworker is able to determine some of the client’s needs and capacities, but not in a thorough or structured way.
- The language needs of the client are assumed rather than assessed most of the time.

**MATURE**
- A standardized assessment tool is utilized to assess each member of the household’s needs and capacities. Assessment tool is completed within the first 30 days of enrollment.
- The caseworker empowers the client to identify his/her needs and most of his/her strengths and challenges.
- Language needs of clients are assessed so that adequate interpretation can subsequently be provided.

**TOTAL**
Client Planning & Goal Setting

NASCENT
- The caseworker explores short-term solutions to the presenting issue with little input from the client or long-term planning.
- A case management plan is created, but with little input from the client. The client is unclear as to who is responsible for completing each goal and feels disengaged from the process.
- Planning and goal setting fails to take into consideration integration goals such as early employment, self-sufficiency, and orientation to a new community.
- The caseworker develops some short and long-term goals with the client. While the client is engaged, the caseworker still leads the process.
- The caseworker and client establish some specific goals, but a few remain overly general. Goals focus on employment, education, family, and personal matters.

EMERGING
- The caseworker and client work together to develop a plan to achieve these goals using the client’s strengths (previous work experience, language, etc.), addressing needs (family situation, self-sufficiency, etc.), identifying areas of responsibility, and ways to overcome barriers. The plan includes specific timelines, and lists some expected changes and measurements of success.
- The client signs the plan and feels mostly engaged in the process.
- Trained interpreters are utilized most of the time.

MATURE
- The caseworker and client work together to develop a plan to achieve these goals using the client’s strengths (previous work experience, language, etc.), addressing needs (family situation, self-sufficiency, etc.), identifying areas of responsibility, and ways to overcome barriers. Includes timelines, and lists changes and measurements of success.
- The process fully takes into consideration and prioritizes the integration goals of early employment, self-sufficiency, and orientation to a new community.
- The caseworker defines his/her role in reaching the client’s goals, the role of the client and what the organization can provide. This understanding is written into an agreement which both caseworker and client sign.
- The caseworker empowers the client to determine the ability of friends and family to offer assistance.
- The caseworker determines the ability of different service providers to offer assistance.
- The consequences of unrealistic expectations are thoroughly discussed.
- Trained interpreters are utilized.
- Clients are connected to community mentors and volunteers.

TOTAL NASCENT
- The caseworker does not define his/her role in reaching the client’s goals.
- The caseworker does not provide information to the client on what services can be expected and what cannot be expected.
- Trained interpreters are not available for the meeting.

TOTAL EMERGING
- The caseworker and client work together to develop a plan to achieve these goals using the client’s strengths (previous work experience, language, etc.), addressing needs (family situation, self-sufficiency, etc.), identifying areas of responsibility, and ways to overcome barriers. The plan includes some specific timelines, and lists some expected changes and measurements of success.
- The client signs the plan and feels mostly engaged in the process.
- Trained interpreters are utilized.

TOTAL MATURE
- The caseworker and client work together to develop a plan to achieve these goals using the client’s strengths (previous work experience, language, etc.), addressing needs (family situation, self-sufficiency, etc.), identifying areas of responsibility, and ways to overcome barriers. Includes timelines, and lists changes and measurements of success.
- The process fully takes into consideration and prioritizes the integration goals of early employment, self-sufficiency, and orientation to a new community.
- The caseworker defines his/her role in reaching the client’s goals, the role of the client and what the organization can provide. This understanding is written into an agreement which both caseworker and client sign.
- The caseworker empowers the client to determine the ability of friends and family to offer assistance.
- The caseworker determines the ability of different service providers to offer assistance.
- The consequences of unrealistic expectations are thoroughly discussed.
- Trained interpreters are utilized.
- Clients are connected to community mentors and volunteers.
Client Intervention: Provision of Direct & Indirect Services

**NASCENT**
- The caseworker takes care of everything for the client which disempowers his/her ability to attain independence and self-sufficiency.
- Alternatively, the caseworker fails to provide sufficient information for the client to act independently and become self-sufficient.
- The caseworker completes any required paperwork and makes any necessary phone calls to help the client access external services (for example: assisting clients to enroll in government programs), but without client involvement, thus creating a dependent relationship.

**EMERGING**
- The caseworker generally serves as a teacher and mentor, providing information and assistance which allows the client to attain independence and self-sufficiency.
- In some cases, the caseworker oversteps and acts on behalf of the client (when the client is able), hindering the client’s ability to become self-sufficient.
- The caseworker empowers the client to complete any required paperwork and make any necessary phone calls to help the client access external services, but occasionally takes the lead for efficiency purposes.

**MATURE**
- The caseworker serves as a teacher and mentor, providing information and assistance which allows the client to attain independence and self-sufficiency as soon as possible.
- The caseworker empowers the client to complete any required paperwork and make any necessary phone calls to help the client access external services, only assisting when necessary.
- The caseworker assists the client to enroll in external services while empowering the client to become self-sufficient.

**NASCENT**
- The caseworker is overburdened and unable to provide assistance to clients in navigating host country systems and cultural barriers, or to advocate on behalf of the client.
- Alternatively, the caseworker is overly helpful and refuses to let the client advocate for him/herself when feasible.
- The caseworker is overburdened and forgets to share essential information with different service providers, resulting in a lack of coordination and the client fails to receive certain services for which he/she is eligible.

**EMERGING**
- Alternatively, the caseworker is overburdened, helps when feasible, but it is sometimes insufficient.
- The caseworker assists the client in enrolling in external services but occasionally takes the lead for efficiency purposes.
- The caseworker generally advocates for each client, helping them address cultural, linguistic, or paperwork barriers at other agencies when the client is unable to do so.

**MATURE**
- The caseworker advocates for the client, helping him or her address cultural, linguistic, or paperwork barriers at other agencies.
- The caseworker coordinates the internal and external services available to the client and has an established referral mechanism.
- A service provider mapping has been conducted within the community to identify service referrals.

**TOTAL**
- The caseworker generally coordinates the overall services available to the client, both internally and externally.
Monitoring & Evaluating Client Progress

**NASCENT**
- The case management program does not monitor or evaluate ongoing cases, but responds to client needs on an ad hoc basis.
- Alternatively, the caseworker is overburdened and only monitors and evaluates cases when able.
- Caseworkers are unsure as to whether quality services are being provided because they are too overburdened to monitor or evaluate ongoing cases.
- Alternatively, they monitor those that they can and make changes to some cases, but not others.

**EMERGING**
- Caseworkers use the completed assessment tool as a baseline to help gauge client progress.
- Monitoring and evaluation occur inconsistently as the client moves through the stages.
- Caseworkers occasionally monitor the quality of the services being delivered.
- Caseworkers check that service delivery is occurring at proper levels.
- Caseworkers ensure that services are provided in a timely and equitable fashion.

**MATURE**
- Caseworkers use the completed assessment tool as a baseline to help gauge client progress.
- Monitoring and evaluation are ongoing processes and increase as the client moves through the case management stages.
- Caseworkers check that service delivery is occurring at proper levels, and services are provided in a timely and equitable fashion.
- As a result, there are few gaps in service delivery and most clients are able to move toward their goals.

**TOTAL**
- As a result, there are gaps in service delivery, it does not occur at the proper levels nor are services provided in a timely or equitable fashion leaving clients unable to move toward their goals.
- The case management program does not request feedback from clients.
- Service providers do not engage clients in participatory decision-making nor take into account the needs and preferences of their clients.
- Staff and/or supervisors are too overburdened to engage in formal or informal monitoring of cases, thus failing to measure the quality of service provision.

**NASCENT**
- As a result of inconsistent monitoring, gaps exist in service delivery and some clients are unable to move toward their goals.
- Occasionally feedback is requested to influence service provision and hold providers accountable.
- Caseworkers engage clients in participatory decision-making and take into account their needs and preferences.
- Staff and/or supervisors engage in formal and informal monitoring of cases (including home visits, an in-office visit, or a self-assessment test) to measure client effort, the adequacy and quality of services, and progress toward meeting goals.

**EMERGING**
- Client feedback is solicited in structured ways to ensure that services are responsive to client needs and that service providers are accountable.
- Caseworkers engage clients in participatory decision-making and take into account the needs and preferences of their clients.
- Staff and/or supervisors engage in formal and informal monitoring of cases (including home visits, in-office visits, or a self-assessment test) to measure client effort, the adequacy and quality of services, and progress toward meeting goals.

**MATURE**
- As a result of inconsistent monitoring, gaps exist in service delivery and some clients are unable to move toward their goals.
- Occasionally feedback is requested to influence service provision and hold providers accountable.
- Caseworkers engage clients in participatory decision-making and take into account their needs and preferences.
- Staff and/or supervisors engage in formal and informal monitoring of cases (including home visits, an in-office visit, or a self-assessment test) to measure client effort, the adequacy and quality of services, and progress toward meeting goals.

**TOTAL**
- As a result, there are gaps in service delivery, it does not occur at the proper levels nor are services provided in a timely or equitable fashion leaving clients unable to move toward their goals.
- The case management program does not request feedback from clients.
- Service providers do not engage clients in participatory decision-making nor take into account the needs and preferences of their clients.
- Staff and/or supervisors are too overburdened to engage in formal or informal monitoring of cases, thus failing to measure the quality of service provision.
Case Closure

NASCENT
- The case management program does not have a case closure procedure in place.
- Caseworkers do not conduct close-out interviews with clients.
- Caseworkers do not mention continuing services provided by the agency such as immigration, family reunification, job upgrades, women and children programs, or community development.
- Caseworkers fail to provide clients with a list of resources and referrals to other service providers, if needed.

EMERGING
- The case management program has a formal case closure procedure that is generally implemented and establishes the end of the staff-client relationship, thus creating a new relationship focused more on providing advice than assistance.
- Caseworkers generally conduct close-out interviews with clients at the end of the service provision period. Clients are sometimes informed of this timeline in advance.
- Caseworkers and clients generally discuss the end of the service period and occasionally outline a plan for future contact and cooperation.
- If ongoing services are necessary or could be beneficial in the future, caseworkers usually speak with the client about where they can go to receive additional support.
- Caseworkers occasionally reference continuing services provided by the agency such as immigration, family reunification, job upgrades, women and children programs, or community development.
- Caseworkers occasionally provide a list of resources and referrals to other service providers in cases where the agency does not offer a service.

MATURE
- The case management program has a formal case closure procedure that is consistently implemented and establishes the end of the staff-client relationship, thus creating a new relationship focused more on providing advice than assistance.
- Caseworkers always conduct close-out interviews with clients. This occurs at the end of the service provision period, and clients are informed of this timeline in advance.
- Caseworkers and clients discuss the end of service provision and outline a plan for future contact and cooperation which is signed by both parties.
- If ongoing services are necessary or could be beneficial in the future, caseworkers speak with the client about where they can go to receive additional support.
- Caseworkers reference continuing services provided by the agency such as immigration, family reunification, job upgrades, women and children programs, or community development and provide formal referrals if client expresses interest.
- Caseworkers provide a list of resources and referrals to other service providers in cases where the agency does not offer a service.
Directions: Add up your total checkmarks from each column and write them below. The highest number is the stage your program falls under:

TOTAL  __________  TOTAL  __________  TOTAL  __________

**NASCENT**
If your program is in the Nascent stage, please refer to the Fundamentals of Service Delivery section on the Case Management Strategies page of our website. If you have further questions on improving your case management program, contact EURITA at eurita@rescue.org for technical assistance.

**EMERGING**
If your program is in the Emerging stage, please refer to the Fundamentals of Service Delivery section on the Case Management Strategies page of our website. If you have further questions on improving your case management program, contact EURITA at eurita@rescue.org for technical assistance.

**MATURE**
If your program is in the Mature stage, keep up the good work! For more information on best practices, please refer to the Case Management Strategies page of our website.

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