



International
Labour
Organization

► **Managing Cases and Case Managers: Technical Assistance “Improving coordination of social protection and employment service delivery in Armenia”**

Instructions



▶ **Managing Cases and Case Managers: Technical Assistance “Improving coordination of social protection and employment service delivery in Armenia”**

Instructions

Veronica Sandu

Dr. Anette Scoppetta

Copyright © International Labour Organization 2022
First published 2022

Publications of the International Labour Organization enjoy copyright under Protocol 2 of the Universal Copyright Convention. Nevertheless, short excerpts from them may be reproduced without authorization, on condition that the source is indicated. For rights of reproduction or translation, application should be made to ILO Publishing (Rights and Licensing), International Labour Office, CH-1211 Geneva 22, Switzerland, or by email: rights@ilo.org. The International Labour Organization welcomes such applications.

Libraries, institutions and other users registered with a reproduction rights organization may make copies in accordance with the licences issued to them for this purpose. Visit www.ifrro.org to find the reproduction rights organization in your country.

9789220380147 (web PDF)

Also available in Armenian: Դեպքի վարումը և դեպք վարողները Տեխնիկական աջակցություն «Հայաստանում սոցիալական պաշտպանության և զբաղվածության ծառայությունների մատուցման համակարգման բարելավում»: Ուսուցողական ձեռնարկ. ISBN: 9789220380154 (web PDF). Մոսկվա, Ռուսաստան, Աշխատանքի միջազգային կազմակերպություն, 2022.

The designations employed in ILO publications, which are in conformity with United Nations practice, and the presentation of material therein do not imply the expression of any opinion whatsoever on the part of the International Labour Organization concerning the legal status of any country, area or territory or of its authorities, or concerning the delimitation of its frontiers.

The responsibility for opinions expressed in signed articles, studies and other contributions rests solely with their authors, and publication does not constitute an endorsement by the International Labour Organization of the opinions expressed in them.

Reference to names of firms and commercial products and processes does not imply their endorsement by the International Labour Organization, and any failure to mention a particular firm, commercial product or process is not a sign of disapproval.

Information on ILO publications and digital products can be found at: www.ilo.org/publns.

The instructions “Managing cases and Case Managers” have been developed for the Republic of Armenia within the project “Improving coordination of social protection and employment service delivery in Armenia and Tajikistan” which was supported by the International Labour Organization (ILO), Decent Work Technical Support Team Country Office for Eastern Europe and Central Asia.

The content, analysis, opinions, and recommendations contained in this report do not necessarily reflect the views of the ILO.

► Table of Contents

1. Introduction.....	1
2. Managing cases	2
2.1. SOP Referral form	2
2.2. SOP Case closure form	3
3. Managing Case Managers.....	5
3.1. Job description for Case Managers.....	5
3.2. Incentive model	6
3.3. Performance monitoring models	7
3.4. Certification	10
References and further reading	12

List of Tables

1. Referral form	3
2. Case closure form.....	4
3. Performance monitoring indicators for Case Managers.....	8
4. Case Manager certification form	10

List of Figures

1. Work incentives and motivational factors	7
---	---

▶ 1. Introduction

The Instructions have been drafted based on the specific request of the Armenian Ministry of Labour and Social Affairs within the project “Improving coordination of social protection and employment service delivery in Armenia and Tajikistan” and aim to assist the implementation of new processes for integrated policy approaches in Armenia. The instruments presented in this paper build on tools and procedures applied in various countries within Europe and beyond (see also *Scoppetta, A., Leichsenring, K. & Lelkes, O. 2018*). The implementation of instruments in Armenia should contribute to the operationalisation of integrated approaches and should raise the quality of support services provided. The Instructions are regarded as integral part of other products developed within the project such as the Guide (Scoppetta & Sandu, forthcoming 2022a) and the Assessment Report Armenia (Scoppetta & Sandu, forthcoming 2022b).

Integrated case management is understood as an innovative practice which is implemented collectively, primarily by respective agents of employment and social security services to serve the most vulnerable with all available resources from both the labour market and the social assistance system, and even beyond. The Instructions in hand focus on how cases and case managers are to be supported. The first part of the Instructions presents two operating procedures: i) the referral and related Referral form, and ii) the case closing as well as the Case closure form. The second part of the instructions present three main procedures that impact recruitment, retaining and evaluating the performance of Case Managers. The first is the Case Manager job description, the second is the Case Manager’s work performance monitoring model and the third is a form that supports the certification processes of Case Managers.

► 2. Managing cases

When implementing the Integrated Case Management (ICM), individual’s specific situations need to be managed by Case Managers by the following standard operating procedures (SOPs). There are various forms of SOPs used and implemented in the EU Member States and beyond; each developed for specific phase of ICM. This brief presents standard operating procedures for referral and standard operating procedures to close the case with respective forms as requested by the Ministry of Labour and Social Affairs of the Republic of Armenia.

2.1. SOP Referral form

A referral form is a tool that helps a Case Manager to identify client’s needs and establish links between the client and various services provided by public or non-governmental organisations (RCMG, 2022). The referral form should be used for all services the client is offered as part of the individual plan. It hence is a tracking and informing tool used by the Case Manager¹ to ensure that the services are in line with the client’s needs and are complementary to other services. Moreover, referral forms are also used to inform the service provider so that relevant information is available to design the support. The form should be short and contain all necessary information from the client that assists him/her throughout the integration pathway.

The referral form should contribute to the following:

- provide sufficient information to the service provider;
- provide clear instructions to service providers on actions needed for the client; and
- facilitating data exchange and enable monitoring.

This referral form (Table 1) was drafted based on several referral forms for adults available online.² To ease handling of the data the forms should be completed in electronic format. This facilitates immediate data exchange between the Case Manager and the service provider. The referral form presented here was adjusted to the country’s context and existing tools applied in Armenia.

1 A Case Manager coordinates the services for the pathway of clients throughout the entire social inclusion and integration chain – see *Scoppetta & Sandu 2022a*.

2 Compiled from referral forms for services provided in the UK, USA, and Australia.

► **Table 1. Referral form**

General information (including date and contacts in case of questions)
Personal information of the client: Name Address Contacts Other relevant personal information such as age, gender, and family status Information about the caregiver/guardian (if relevant)
Information about the client such as language skills, vulnerability status, internally displaces, family situation, etc.
Reasons for referral: <i>(describe)</i>
Information about the service provider offering services to the client: Name Address Contacts Contact person Other information on the referred organisation/service
Referral measures: <i>(describe)</i> <i>Monitoring protocol attached.</i>
Current support/services: <i>(describe)</i>
Consent and data protection:
Information about the Case Manager facilitating referral:
Notes and comments

2.2. SOP Case closure form

Cases of clients who are exiting ICM are closed based on clear criteria and unified protocols. The Case closure form outlines the progress towards meeting goals, summarises the services provided to the client and the reasons for closure (SSD, 2022). It should offer enough information about the client in case a new case must be opened. Hence, the form serves several goals: case track record, assessment of provided services and support, assessment of the work of the case managers and data collection. Reasons to close a case are manifold and include reaching the goals agreed, mutual agreement related to changed life situations of the client, refusal of the client to continue receiving further support, absence of the client, non-eligibility due to changed situation of the client, and client referred to a residential care. The Case closure form is signed by the client and the supervisor of the case managers, i.e., the specialists working directly with the client.

The presented Case closure form (Table 2) was drafted based on similar forms available online and adjusted to the Armenian context.³ The existing examples require the completion in electronic format which facilitates immediate data exchange.

³ Case closure forms compiled from the UK, the Netherlands and Canada.

► **Table 2. Case closure form**

Case number:		Referral number:	
Reason for closure:		Case (individual) plan complete Main concerns resolved Case transferred Death Migration Client refusal/absence Other _____	
Details of closure: please describe shortly closure raisons			
Case transfer (if applicable)		Case transfer details	
Client refusal (if applicable)		Reasons for client refusal	
Other (if applicable)		Comments	
Communication:			
	YES	NO	
Was the client involved in decision to close the case?			
Does the client agree to close the case			
Has the client provided contact if further support is needed?			
Comments for the communication part:			
Form completed by:			
Name:		Signature:	Date:
Closure authorised by:			
Name:		Signature:	Date:
Service evaluation form:			
Service evaluation form should be completed with each case.			
Date for service evaluation:			
Evaluation performed by:			
Service evaluation annex attached to the closure form			

▶ 3. Managing Case Managers

3.1. Job description for Case Managers

The information in this section builds on examples available online (Commission for Case Manager Certification, 2020; National Association for Social Workers, 2013). The job description is kept short to be useful when announcing vacancies. Please note that Case Managers must be trained to implement required tasks.

The focus of work of a Case Manager (CM) is to achieve results together with the client, enhance the quality of client management, maximise satisfaction, and promote cost effectiveness. Duties of CM include assessing client's situation, planning, implementing, monitoring, and assessing actions. The tasks of CM comprise:

- ▶ Conducting and completing clients' needs assessment⁴; developing, monitoring, and evaluating support plans and monitor progress; facilitating interdisciplinary approaches; monitoring client's performance and service provision (see below in more detail).
- ▶ Determining clients' requirements through in-depth interviews, determining needs for specialised support (medical, social, educational), review assessments, individual objectives, and plan steps to be fulfilled in case other professionals are needed (e.g., health specialists).
- ▶ Establishing intervention measures programs by setting schedules and routines; coordinating services being provided; arranging resources, including transportation.
- ▶ Monitoring cases by verifying clients' attendance; observing and evaluating support and results; advocating for needed services and entitlements; obtaining additional resources; intervening in crises; providing personal support.
- ▶ Communicating clients' progress by conducting interdisciplinary meetings and assessments (including adequacy and timeliness of services provided, as well as results of services from client's perspective).
- ▶ Preparing clients' post-ICM situation; coordinating, orienting, and training family members; providing resources.
- ▶ Preparing reports by collecting data and trends, compiling statistics.
- ▶ Updating job knowledge by participating in educational opportunities; maintaining personal networks; participating in professional organization and licencing or certifying procedures.

Skills and qualifications of CM encompass ICM training and constant upskilling, previous experience, documentation skills and computer skills, analytical skills, decision making, good verbal and written communication, people skills and integrity. See Section 5.3 on the qualifications and experience required of Case Managers in the Guidelines and Toolkit prepared on ICM in the Western Balkans (Scoppetta, Leichsenring & Lelkes, 2018).

4 The process of needs assessments may be repeated in case the needs of clients change.

Moreover, a job description should also include details related to work process such as working hours, working conditions, benefits and payment, education, and training opportunities.

3.2. Incentive model

An incentive model is a formal scheme used to promote and encourage specific actions and behaviours by specific group of individuals during a defined period (OpenStax, 2022). The model also serves to attract and retain employees. It is based on a pay for performance approach. The incentive models should not concentrate only on increasing efficiency of the workforce but also on their recruitment, engagement, and retention.

Incentive models should be standardised, based on a clear incentive plan (drafted for a fixed period), have a defined budget, be legal and consistent. Prior to designing an incentive model, the following job preconditions should be considered: job security (long term legal commitment), job recognition (competitive salaries), professional development (ensured for all Case Managers), and possibility to promotion (inside and outside newly created structures). There should be a clear link between the results of the performance monitoring and provision of incentives.

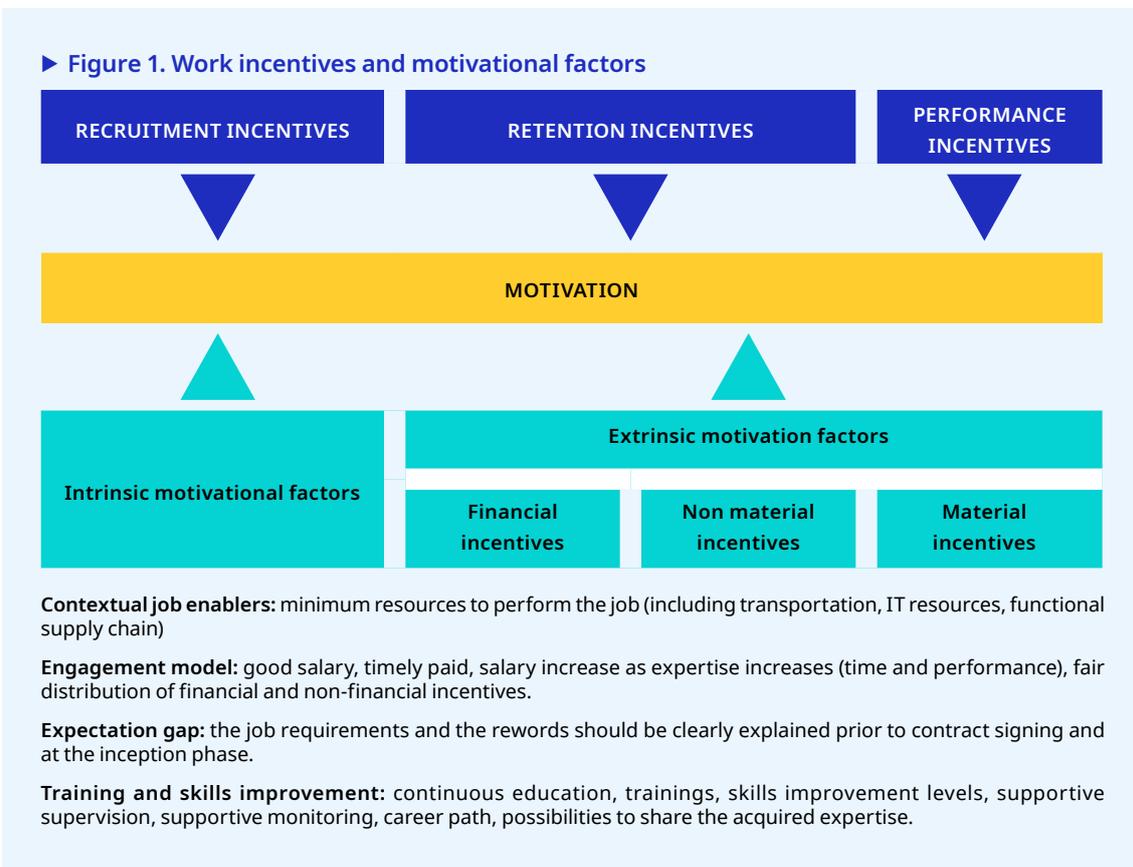
Incentive models in the social sector are difficult to design. Besides the financial aspect of the incentive programmes, measures to improve the wellbeing of the sector employees, their health, safety, prevention of burnout and boosting morality are equally important. The line between social commitment and work for incentives is difficult to set when it comes to social work, in many cases the best performers are driven by the importance of their work (community recognition, client recognition, visible contribution to client's life) and less by formal recognition. Educating Case Managers in the spirit of social commitment should be continuous and not substituted by formal incentives.

Incentive criteria should be transparent, used in a consistent manner across the centres, explained to CM, discussed, and adjusted with the CMs' supervisors. While there are two forms of incentives, financial incentives and non-financial incentives, studies⁵ (WHO, 2021) show that incentive models that combine financial and non-financial incentives are more successful:

- ▶ **Financial incentives** comprise salary top ups, stipends, performance bonuses, and tasks awards (i.e., successful closed cases).
- ▶ **Non-financial incentives** include trainings and education, exchange of experience, access to support networks and support services, possibility to be hired as a trainer, in kind support (i.e., some countries provide transportation means, gas coupons, bicycles, etc.), provision of work certificates and other issues that contribute to the recognition of good work.

The incentive framework below was adapted from a model presented in WHO research on the optimisation of the work of the community health workers across six countries (*Gadsden et al, 2019*).

⁵ Meta-analysis of incentive models for community health workers.



3.3. Performance monitoring models

Performance monitoring models are tools that organisations use to realise the potential against performance targets and deliver high quality services to clients. A performance monitoring model has a set of performance indicators which are measurable and monitored over a fixed period (CMSUK, 2014). Designing a performance model for Case Managers is challenging since measuring the impact outcomes is very difficult. Changes in the situation of clients could occur out of different reasons external to the provided formal support. A pragmatic approach is to measure process performance, which involved measuring progress against a simple set of indicators related to good performance on the job.

Performance models can be formal or informal instruments, adopted at the level of individual institutions or uniform across the sector. They should be transparent and consistent, i.e., Case Managers should be well informed about the evaluation process. Monitoring performance should be related to the minimum standards for the case work, occupational standards, and codes. At the same time, it should go beyond following the occupational standards but capture excellence.

There are very few performance models for social workers or Case Managers. Some research was done on efficiency of performance models used to assess the work of the community health workers. These indicators usually refer to several main dimensions related to recognition of needs, ethical behaviour, good communication, ability to learn and adapt, ability to work with data, understand and apply work procedures, and anticipate and overcome risks.

The performance monitoring model presented in Table 3 was drafted based on several examples of performance frameworks designed for the community health workers and adjusted to Case Managers’ work (ACS&QH 2019, WHO 2021). Please note that the model does not take into consideration client satisfaction or direct impact on clients.

► **Table 3. Performance monitoring indicators for Case Managers**

Dimensions	Indicator
Professional behaviour	
1. The Case Manager demonstrates good understanding of the rights of the client and the client’s consent	Formal consent forms and records in order
	Understanding of the rights of the client and the situation the client
	Respects client’s privacy and dignity, all compliances on data protection in order
2. The Case Manager demonstrates commitment to learning	Reviews and uses the appropriate tools for case planning and case management
	Demonstrates self-evaluation and reflections
	Uses training and professional improvement opportunities
3. The Case Manager demonstrates ethical, legal, and cultural responsible work	Follows work processes and procedures
	Follows safety policies
	Performs duties in a timely manner
	Maintains professional boundaries and follows the code of ethics
4. The Case Manager demonstrates collaborative practice	Demonstrates client-oriented conduct
	Demonstrates team spirit, contribution to teamwork and team outcomes
	Advocates with the client with professionals from different sectors
	Cooperates with family, informal support network and other people involved in the case process
	Guides and supports other staff and colleagues in the client’s interests

Dimensions	Indicator
Communication	
1. The Case Manager knows how to communicate effectively	Listens and reacts emphatically to client's story/needs Respects cultural, personal, ethnical differences Uses communication skills and strategies for clients that have special impairments and communication challenges Communicates with family and informal network in an efficient manner
2. The Case Manager keeps clear and accurate documentation	Completes the relevant documentation, and maintains the records timely and diligently Complies with organisational protocols, legislation, and work procedures
Assessment and intervention	
1. The Case Manager conducts initial assessment and implements the individual plan	Performs high quality the comprehensive needs assessment of the client Performs high quality the comprehensive needs assessment of the family Performs high quality personal autonomy assessment Performs in a high-quality intervention plan/ individual social programme Provides relevant support and referral to relevant services as per the individual plan Performs monitoring tasks and monitoring of case implementation Performs case closing tasks
2. The Case Manager dose service provision monitoring	Collaborates with the client to determine realistic intervention scenarios Provides realistic and relevant support Considers financial and other resource in relation to provided support Educates and supports the client to reduce dependency of the formal support
3. The Case Manager performs monitoring effects of the intervention	Incorporates outcomes of monitoring and can adjust the individual plan Makes modifications as per the implementation process Monitors client response to the intervention Monitors and collects data on intervention process

3.4. Certification

Integrated case management between employment and social policies is an emerging area that primarily has been adopted from care and social work. Respective associations exist in some countries within Europe such as the Case Management Society UK (CMSUK)⁶ and the German Society of Case Management (Deutsche Gesellschaft für Case Management/DGCC).⁷ The Austrian Society for Social Work (Österreichische Gesellschaft für Soziale Arbeit/OGSA) has developed a position paper on standards for social work case management.⁸ In the USA, the American Case management Association⁹ and the Case Management Society of America¹⁰ are to be consulted.

Certification means granting credentials to task performance ability which comes in addition to formal education certificates and professional licence. Certification is a critical process that includes evaluation of the abilities and knowledge of a Case Manager as well as practical experience (NASW, 2022). Table 4 presents a Case Manager Certification Form which was designed based on several certification forms drafted by the US National Association of Social Workers (the Certification Form for Social Work Case Managers and the Certification Form for Advanced Social Work Case Managers) (NASW, 2022). The form implies offering a certain score to each question which would be summed up and compared to a minimum pre-set benchmark. A Case Manager would receive the certificate if the individual cumulated score is higher than the minimum score.

► Table 4. Case Manager certification form

Case Manager name:	
Date:	
Evaluator:	
Consent and details that should be provided to the Case Manager about the certification process:	
Introduction	
Job title	
Length of employment	
Area of employment	
Employer details	
Supervisor (plus case supervisor)	
Core functions	
Week working hours	
Formal training, university degree and specialisation(s)	
Trainings on case management and related topics (no. of hours)	

6 <https://www.cmsuk.org/>

7 <https://www.dgcc.de/>

8 https://ogsa.at/wp-content/uploads/2018/12/ogsa_Standards-f%C3%BCr-Social-Work-Case-Management.pdf

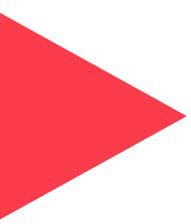
9 <https://www.acmaweb.org/>

10 <https://cmsa.org/>

Case Manager name:	
Part 1. Performance of duties and direct qualifications	
1.1 Expertise and theoretical knowledge	
Knowledge on case management	Synthesis plus grading
Knowledge on related work processes	Synthesis plus grading
Knowledge of the operating procedures	Synthesis plus grading
Knowledge of legal and regulatory documents related to case management	Synthesis plus grading
1.2. Technical skills	
Ability to do the needs assessment	Assessment on the job
Ability to identify the right support/ services	Assessment on the job
Ability to close a case, support graduation of the client	Assessment on the job
Ability to respond to crisis cases	Assessment on the job
Computer literacy and knowledge of computer	Assessment on the job
Ability to use the existing data sets	Assessment on the job
Ability to mobilise informal support	Assessment on the job
Part 2. Skills Evaluation (practical skills)	
Ability to engage with clients	Assessment on the job
Ability to deal with sensitive cases/ situations	Assessment on the job
Ability to identify risks factors	Assessment on the job
Ability to do psychological assessment of the client / family	Assessment on the job
Ability to work in a multidisciplinary team/ teamwork	Assessment on the job
Ability to use and seek supervision	Assessment on the job, supervisor assessment
Understanding of code of ethics	Assessment on the job, supervisor assessment
Part 3. Analysis of managed cases	
Case management as per the supervisor's assessment of closed cases (see the closing form)	
References from work colleagues, including members of the multidisciplinary teams.	
Part 4. Additional information and assessment	
General comments:	
Case Manager strengths:	
Risks and challenges:	
Recommendations for improvement:	
Documents to be provided to the evaluator: employment records, supervisor assessments, professional qualifications, certificates, and diplomas.	
Assessment result and certification conclusion	

► References and further reading

- ACS&QH (2019), *Australian Commission on safety and Quality in Healthcare, quality standards and performance monitoring indicators*, available at: <https://www.safetyandquality.gov.au/standards>
- AES (2022), *Applied education system, community health workers standards of work and credentials*, <https://www.aeseducation.com/healthcenter21>
- CMSUK (2014), *CMSUK Standards - Standards and Best Practice Guidelines 2nd edition*. Case Management Society UK (2014). Available at: <https://www.cmsuk.org/uploads/page/000standards-2nd-ed-hoZc.pdf>
- Commission for Case Manager Certification (2020), *Case Manager job description, part of workforce development forms*. Available at: <https://ccmcertification.org/>
- Gadsen, T., et al (2019), *Selecting effective incentive structures in health care: A decision framework to support health care purchasers in finding the right incentives to drive performance*. BMC health service research; 2019.
- NASW (2013), *NASW standards for Social Work Case Management*, NASW Certification department, available at: <https://www.socialworkers.org/LinkClick.aspx?fileticket=acrzqmEfhlo%3D&portalid=0>
- NASW (2022), *Information booklet with application and reference forms for certified social work case managers*. 2022 update, NASW Certification department.
- OpenStax (2022), OpenStax learning platform on individual and organisational incentives, <https://openstax.org/books/organizational-behavior/pages/8-5-individual-and-group-incentive-plans>
- RCMG (2022), *Social Work Referral Form*, USA social work department, available at: <https://www.rcmg.com/wp-content/uploads/2016/06/SocialWorkReferralFormTemplate-DONOTSAVEOVER.pdf>
- SSD (2022) State Social Departments (various states) on *Case Management Standards Sample Case Closure Summary*, available: https://lincolnshirechildcare.proceduresonline.com/p_case_closure.html, https://www.health.ny.gov/diseases/aids/providers/standards/casemanagement/docs/case_closure.pdf
- Scoppetta, A. and Sandu, V. (2022a forthcoming), *Guide to Improving coordination of social protection and employment service delivery in Armenia and Tajikistan*, European Centre for Social Welfare Policy and Research, Vienna.
- Scoppetta, A. and Sandu, V. (2022b forthcoming), *Assessment Report – Improving coordination of social protection and employment service delivery in Armenia*, European Centre for Social Welfare Policy and Research, Vienna.
- Scoppetta, A. and Sandu, V. (2022c forthcoming), *Assessment Report – Improving coordination of social protection and employment service delivery in Tajikistan*, European Centre for Social Welfare Policy and Research, Vienna.
- Scoppetta, A., Leichsenring, K. & Lelkes, O. (2018), *Integrated Case Management of Employment and Social Welfare Users in the Western Balkans – Guidelines and Good Practices*. Commissioned by the UNDP. Vienna: European Centre for Social Welfare Policy and Research.
- WHO (2021), *Performance-based incentives and community health workers' outputs, a systematic review*, WHO reviews – 2021.



► **Contact:**

ILO Decent Work Technical Support Team and
Country Office for Eastern Europe and Central Asia

Petrovka st. 15, office 23
107031 Moscow,
Russia

T: +7 495 933 08 10
F: +7 495 933 08 20
E: moscow@ilo.org

