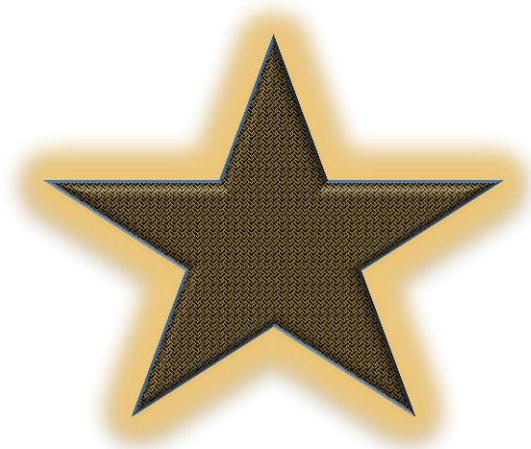


# **Case Management Competence: Reframing What Defines Practice Excellence**



**Ellen Fink-Samnick MSW, ACSW, LCSW, CCM, CRP**

# That **\$64 Million Dollar** Question

*Who makes the  
best case  
manager?*



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# Learning Objectives

- Define what competencies comprise a strong case management candidate
- Delineate between hard and soft competencies
- Distinguish case management team competencies
- Discuss performance management and its value to defining case management competence

# Disclosure & Disclaimer

There are no potential conflicts of interest contained in the information provided in this presentation. All material is the opinion of this presenter or cited to source and/or authority

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# Continuing Education

This program has been pre-approved by The Commission for Case Manager Certification to provide continuing education credit to CCM<sup>®</sup> board certified case managers.



Commission for Case Manager Certification



# WHAT IS CASE MANAGEMENT COMPETENCE?

# Definition

‘A person thought to have the necessary ability or skills, or is able to do something well enough to meet a standard’  
(Merriam-Webster, 2018)



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# Definition

‘A set of defined behaviors that provide a structured guide enabling the identification, evaluation, and development of the behaviors in individual employees’

(Lundberg, 1972)



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# Definition



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## Occupational Competency-

- Different competencies predict performance excellence in different roles.
- a ‘competency’ for one job is not consistent across all roles.

(McClellan, 1973)

# Definition and Evolution

**1995**

- Joint Commission requires hospitals assess, prove, track & improve competence of employees

**1997**

- Hard & Soft Competencies emerge

**2000**

- Competencies: determination of a person's capacity to perform a job function to defined expectation.

# Definition and Evolution

## Hard Competencies

- Specific job related qualifications
- Functions



## Soft Competencies

- Personality traits
- Individual style

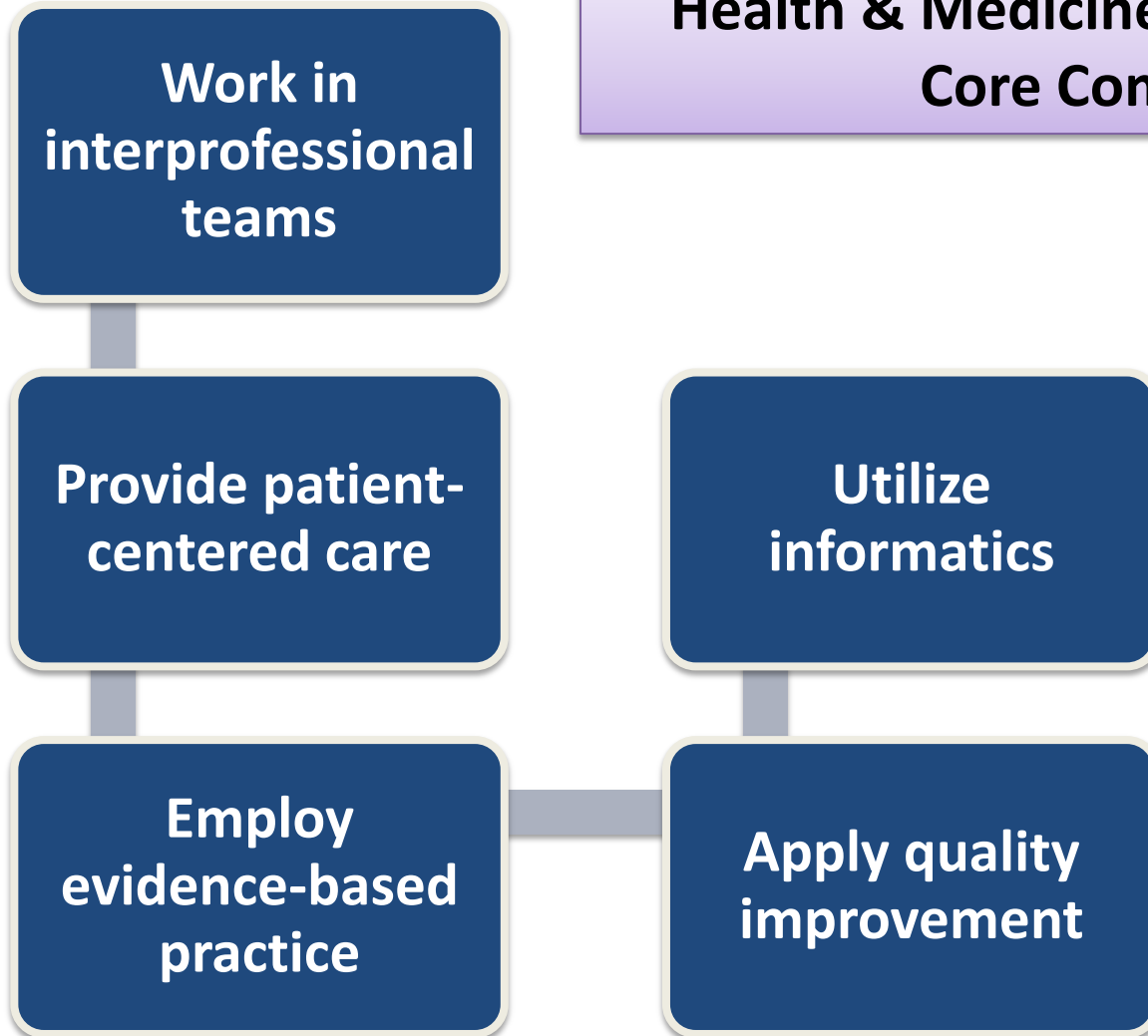


**Competent Professional**

(Parsons and Capka, 1997)

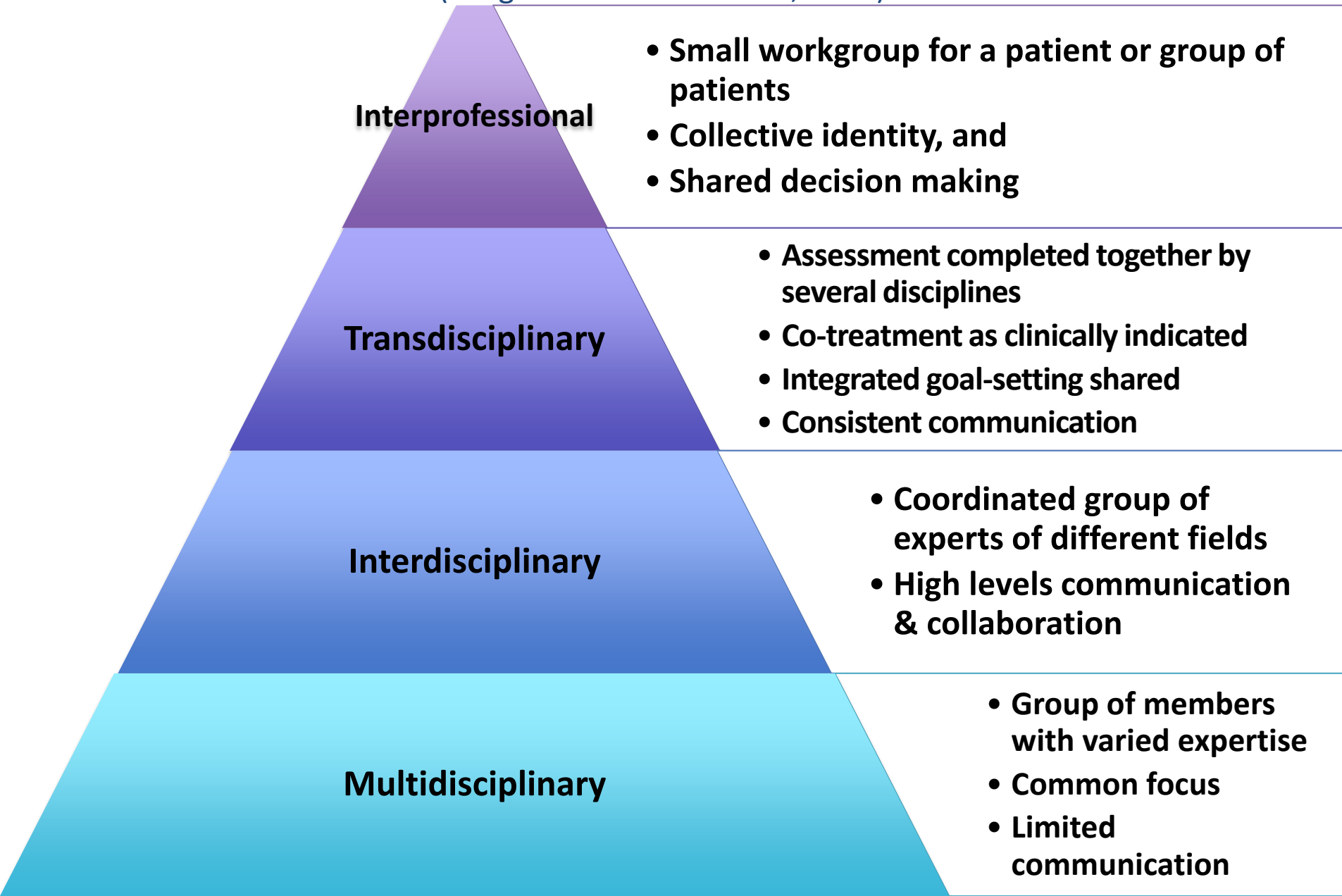
# Definition and Evolution

**Health & Medicine Division(HMD):  
Core Competencies (2003)**



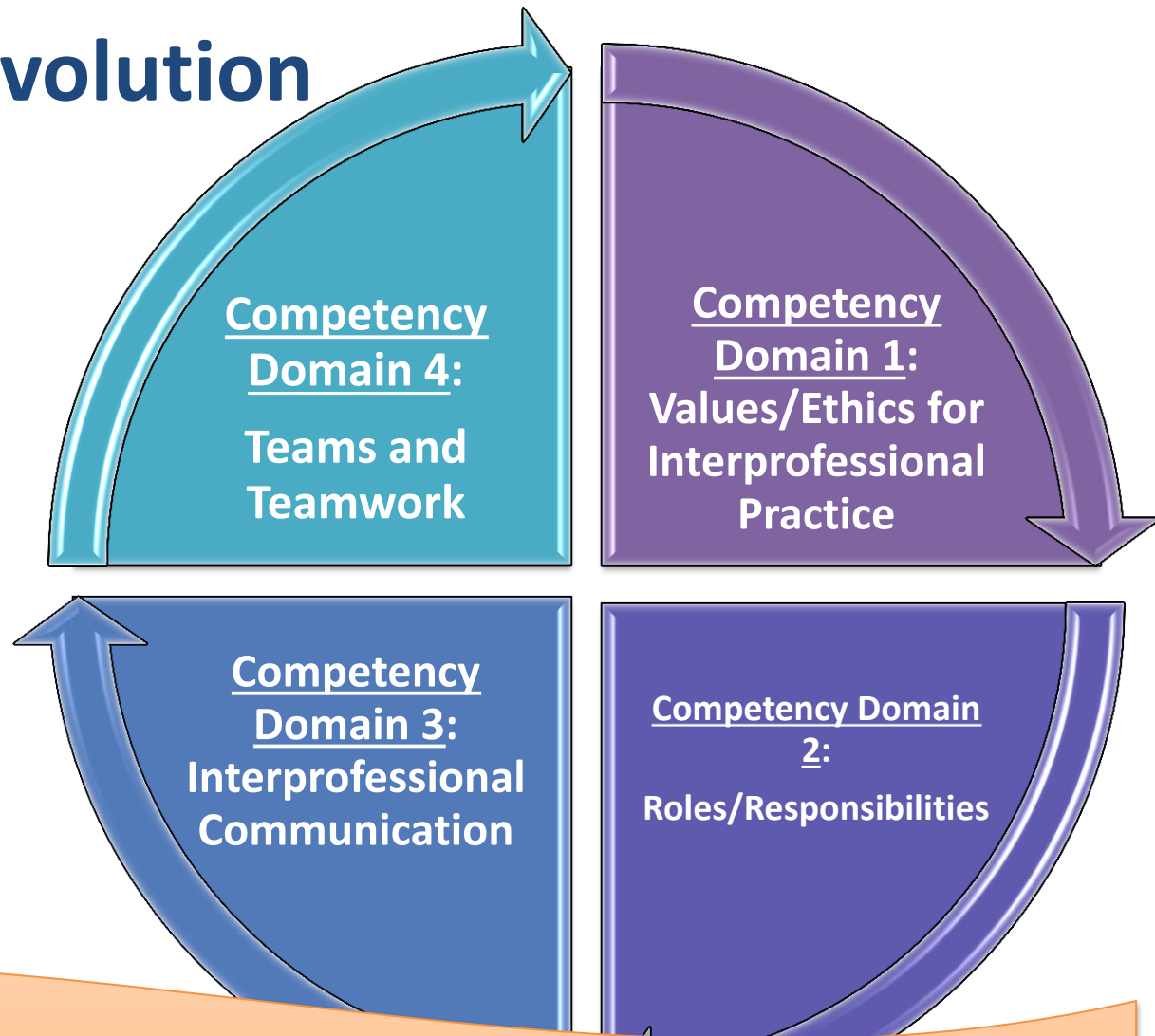
# Meanwhile: Teamwork Evolution of Competency

(Treiger and Fink-Samnack, 2016)



# Definition and Evolution

**Interprofessional  
Education  
Collaborative** (2010)



To prepare health professions students for *deliberatively working together*, with the common aim of building a safer & better patient-centered and population oriented U.S. health care system

# Competencies are a key factor of the quality health care equation

- They:
  - Set the tone for academic and professional accreditation
  - Guide job descriptions by inclusion of competency-based skills and practice behaviors.

***‘Amid our fluid industry, competencies are that constant by which organizational return on investment is measured and validated.’***



‘These times beg for **Professional Case Management** to have clearly delineated competencies that speak to its unique practice scope,  
otherwise the power & intent of our practice remains the best kept secret.’



# A Distinction

- **Competency** and **Skill** both identify an ability acquired through training and experience.
  - Skill refers to specific learned abilities needed to perform a job; the ‘what’
  - Competencies are the ‘how’
- Skills + knowledge + abilities = Competencies



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# One More Distinction

**Job Functions:** The basic duties, tasks, or activities an employee is responsible for in a particular role:

- Vary across roles
- Reflect the unique needs of a particular population



- Coordinate team rounds
- Complete monthly outcomes
- Manage family meetings
- Complete client assessments
- Provide psychosocial support
- Assure facilitation of safe discharge plans
- Negotiate out of contract or out of network agreements

# What Competencies Matter?



# What Competencies Matter?

(Wu, Martin, and Ni, 2017)

10. Critical Thinking: 18%
9. Communication: 18%
8. Assessment: 18%
7. Medical/health science knowledge: 27%
6. Intervention: 27%
5. Patient-care: 36%
4. Leadership: 36%
3. Management: 45%
2. Scholarship and Research: 55%
1. Professionalism and Ethics: 73%



# 12 Core Competencies For Successful Job Performance (Penny, 2018)

12. Stress tolerance
11. Initiative
10. Integrity
9. Communication
8. Planning and Organizing
7. Adaptability
6. Problem Solving
5. Reliability
4. Motivation
3. Work standards
2. Teamwork
1. Decision making

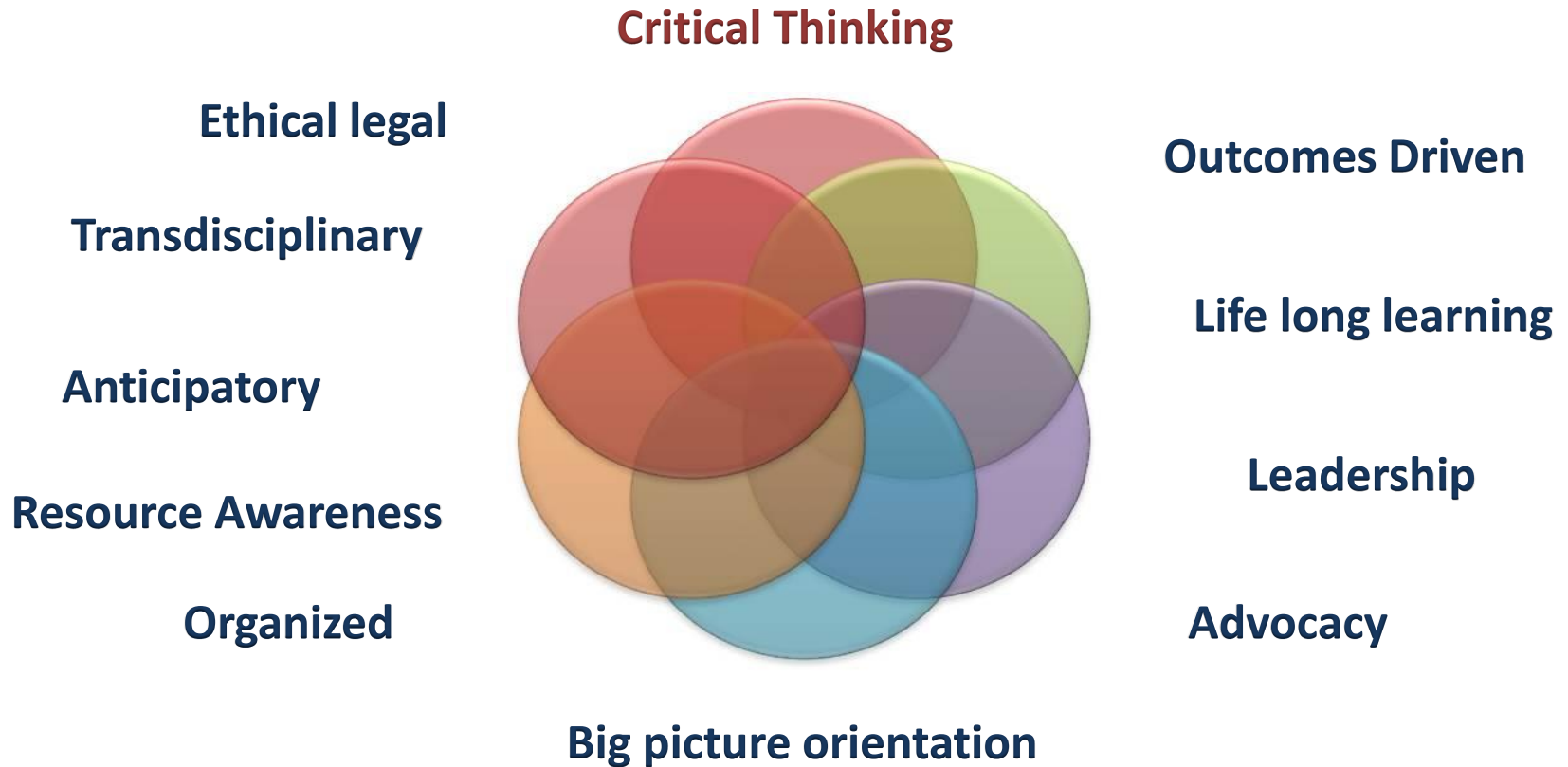




# **INTEGRAL COMPETENCIES FOR PROFESSIONAL CASE MANAGEMENT**

# The COLLABORATE<sup>®</sup> Paradigm

(Treiger and Fink-Samnack, 2016)



Competency	Key Elements
Critical thinking	<ul style="list-style-type: none"> <li>Out of the box creativity</li> <li>Analytical</li> <li>Methodical approach</li> </ul>
Outcome-driven	<ul style="list-style-type: none"> <li>Patient outcomes</li> <li>Strategic goal setting</li> <li>Evidence-based practice</li> </ul>
Life-long learning	<ul style="list-style-type: none"> <li>Valuing:</li> <li>Academia/advanced degrees</li> <li>Professional development</li> <li>Evolution of knowledge</li> <li>Practicing at top of licensure &amp;/or certification</li> <li>Recognizing no one case manager knows all</li> </ul>
Leadership	<ul style="list-style-type: none"> <li>Professional identity</li> <li>Self-awareness</li> <li>Professional communication-verbal/non-verbal</li> <li>Team coordinator: unifier rather than divider</li> </ul>
Advocacy	<ul style="list-style-type: none"> <li>Client</li> <li>Family</li> <li>Professional</li> </ul>

Competency	Key elements
Big picture orientation	Bio-Psycho-Social-Spiritual Assessment Macro (Policy) impact on Micro (Individual) intervention
Organized	Efficient Effective
Resource awareness	Utilization/resource management Condition/Population-specific Management of expectations per setting
Anticipatory	Forward thinking Proactive vs. reactive practice Self-directed
Transdisciplinary	Transcending Professional Disciplines Across Teams Across the Continuum
Ethical-Legal	Licensure Certification Administrative Standards Organizational Policies and Procedures Ethical Codes of Conduct

# Case Management's Competencies of Ethical Excellence<sup>©</sup> (Fink-Samnack, 2019)

**Dual Purpose:**

1. Address personal values, &
2. professional responsibility

**Competence**

**Confidentiality**

**Conflict of Interest**

**Dishonesty**

**Dual Relationships**

**Due Diligence**



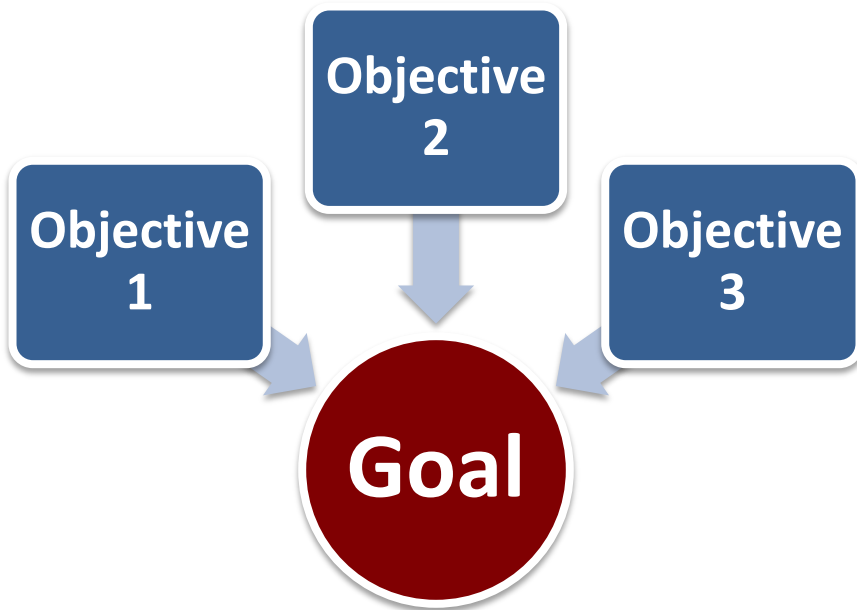
# HOW IS CASE MANAGEMENT COMPETENCE MEASURED?

# How is Case Management Competence Measured?



- Goals
- Objectives
- Outcomes
- \$\$\$\$\$\$ Financial Return on Investment

# Goals and Objectives



- **Goals:** Observable and measurable **end results** with one or more objectives to be achieved in a fixed timeframe
- **Objectives:** Specific results that a person or system aims to achieve within a timeframe (AKA: finite steps to reach the goals)

# Goals and Objectives

## Goals should:

1. Clearly define the end results to be accomplished,
2. Have direct & obvious linkage to organizational factors or goals,
3. Be difficult, but achievable, to motivate performance,
4. Be set in no more than three areas

***Trying to achieve too many goals simultaneously obstructs success***

**A GOAL  
WITHOUT A  
PLAN IS JUST A  
WISH**  
**-ANTOINE DE SAINT-  
EXUPERY**

# Sound Objectives + Indicators + Goals = Solid Outcomes

- **Indicator:** HOW the objective is measured

(Treiger & Fink-Samnack, 2017)

**Effective communication by CM with patient &/or caregiver demonstrated by:**

- Documentation of encounter
- Reduced variances caused by miscommunication

**Effective communication by CM with interprofessional team demonstrated by:**

- Documentation of encounter
- Reduced variances caused by miscommunication

Reduce discharge variances bundle readmissions (total hips & knees)

Improved management bundle readmissions evidenced by 5% reduction miscommunication incidents

**Goal**

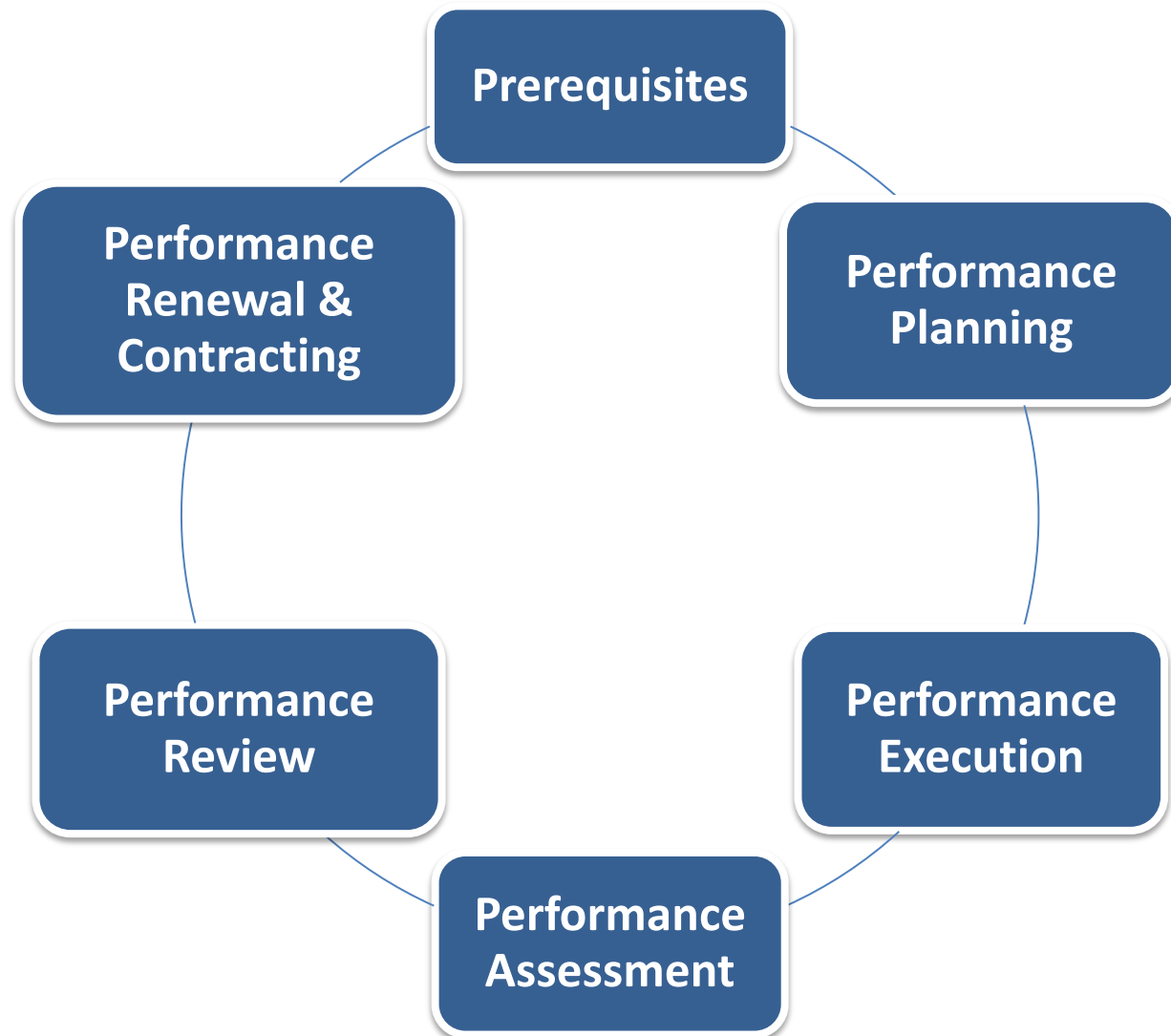
**Outcome**

**Objectives & Indicators**



# **IMPLEMENTING A COMPETENCY BASED CASE MANAGEMENT APPROACH**

# Step 1: Integrate a Performance Management Structure that Names Competencies



# Step 2: Build a competence framework

## 1. Select competencies:

- Define those competencies relevant for your team

## 2. Leverage them consistently across:

- Job descriptions
- Performance metrics
- Performance appraisals



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# Step 3: Use a Competencies Proficiency Scale



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## Competencies Proficiency Scale

1. Fundamental awareness (basic knowledge)
2. Novice (limited experience)
3. Intermediate (practical application)
4. Advanced (applied theory)
5. Expert (recognized authority)

(NIH, 2018)

# Step 3: Use a Competencies Proficiency Scale

- Fundamental awareness
- Novice
- Intermediate
- Expert

## Critical Thinking

The Case manager will:

- Engage in team meetings
- Address team fragmentation/dissension
- Participate in developing team integration action plan
- Lead team integration initiative

# Step 4: Use a Clearly Defined PM Approach

Develop competence-based job descriptions & employee performance plans.



Select right employees by implementing appropriate vetting process.



Negotiate requirements & performance standards to measure overall productivity against predefined benchmarks.



Provide continuous coaching & feedback



Have a clear plan for developing ongoing continuing education/training needs

# Step 4: Use a Clearly Defined PM Approach

Design effective compensation and reward systems to recognize employees who excel in their jobs

- (e.g., achieve set standards in sync with performance plans, exceed dept. performance benchmarks)

Provide career development support and guidance to employees.

Perform exit interviews to understand why employees leave the organization.

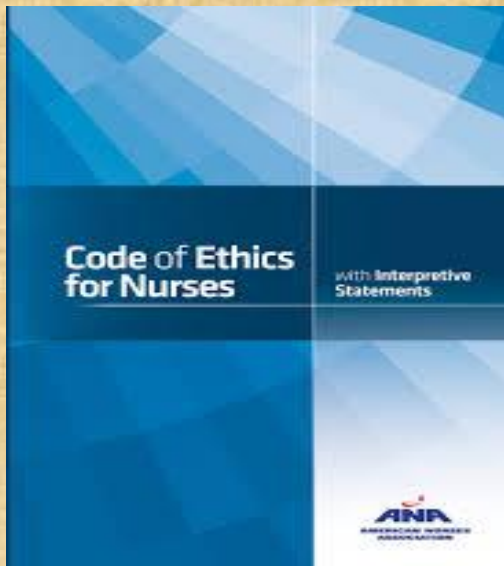
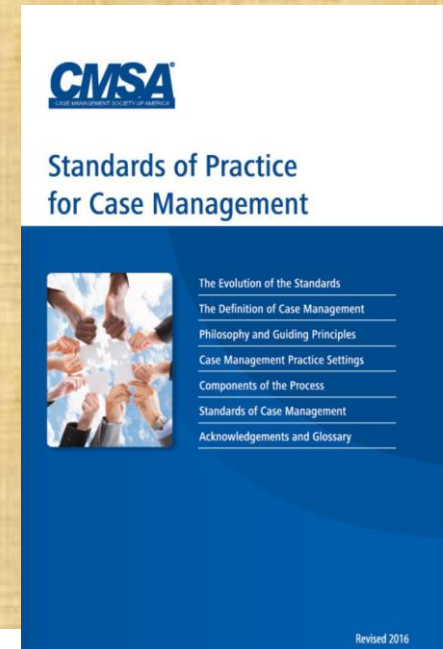
# Step 5: Define Levels of Accountability

Employee	Supervisor/Manager
Commitment to goal achievement	Ongoing observation, evaluation, & documentation
Continuous feedback & coaching	Active involvement without enabling
Communication with direct supervisor	Mechanism for feedback
Collect & share performance data	Provide resources
Mutual prep for performance appraisals	Reinforcement, validation

(Adapted from Grote, 1996 in Aquinis, 2013 for Treiger & Fink-Samnack, 2016)

# Step 6: Use Established Resources of Accountability

- Use language of professional standards and codes

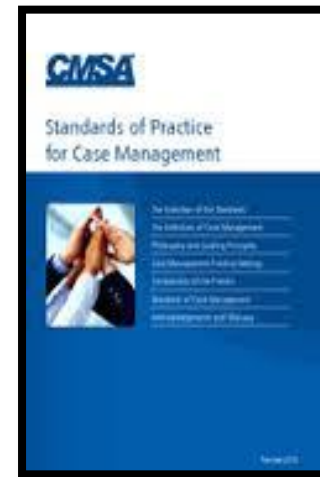




Case management is a collaborative process of assessment, planning, facilitation, care coordination, evaluation, & advocacy for options and services to meet an individual's and family's comprehensive health needs through communication & available resources to promote patient safety, quality of care, & cost-effective outcomes

(CMSA, 2016)

- A. Client Selection Process for Professional Case Management Services
- B. Client Assessment
- C. Care Needs & Opportunities Identification
- D. Planning
- E. Monitoring
- F. Outcomes
- G. Closure of Professional Case Management Services
- H. Facilitation, Coordination, & Collaboration



- I. Qualifications for Professional Case Managers
- J. Legal
  - 1. Confidentiality & Client Privacy
  - 2. Consent for Professional Case Management Services
- K. Ethics
  - I. Primary obligation to clients served
  - J. Secondary obligation of engagement in and maintenance of respectful relationship with coworkers, employers & other professionals.
- L. Advocacy
- M. Cultural Competence
- N. Resource Management & Stewardship
- O. Professional Responsibilities & Scholarship



Commission for Case Manager Certification

### Underlying Values:

#### **Board Certified Case Managers:**

- Understand and commit to quality outcomes for clients, appropriate use of resources, and the empowerment of clients in a manner that is supportive and objective
- Understand that case management is a guide to the principles of autonomy, beneficence, nonmaleficence, justice, and fidelity

### **Principles**

#### **Board Certified Case Managers will:**

- **Principle 2:** respect the rights and inherent dignity of client
- **Principle 5:** maintain their competency at a level that ensures their clients will receive the highest quality of service
- **Principle 7:** obey all laws and regulations

# Disclaimer

*‘The greatest danger in times of turbulence is not the turbulence—it is to act with yesterday’s logic.’*

*—Peter Drucker*



Thank  
you



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