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RESOURCE FOR TRAINING:
CASE MANAGEMENT IN PROGRAMS FOR
VIOLENT JUVENILE OFFENDERS

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CASE MANAGEMENT IN PROGRAMS
FOR VIOLENT JUVENILE OFFENDERS

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Introduction

Purpose and Background

This paper is a discussion of case management in programs for violent juvenile offenders. While its general use may be broader, its primary audience is the administrators and staff of the five local projects which have been awarded contracts under the violent juvenile offender research and development program. The purpose of the paper is to:

- 1 Provide projects with an understanding of the need for case management
- 2 Show projects how to implement case management in each major phase of the project.

The paper consists of three major parts: introduction, discussion of case management aspects of program functions, and a summary. The introduction states the purpose of the paper, philosophical premises of the violent offender project and objectives of case management. The second section discusses implementation of case management and covers major program functions. These include planning and coordinating resources, client control, monitoring the provision of formal resources, community liaison and reintegration, counseling and advocacy. The last section summarizes the major points of the previous sections.

The intervention model outlined in the Background Paper* accompanying the Request for Proposal for local projects of the violent juvenile offender program suggested that violent delinquency can be reduced by strengthening social and personal bonds. Four underlying principles were identified: social networking, provision of youth opportunities, social learning and

* URSA, San Francisco, CA

goal-oriented interventions. A strategy related to these principles was proposed which includes, among other factors, the strengthening of commitments by youth to families, peers, schools and other social institutions; encouraging personal goal setting, problem-solving and decision-making; providing opportunities in education, work and job training; developing interpersonal and other skills; and providing appropriate and clear positive and negative reinforcements for specified behavior.

Objectives of Case Management

The strategy outlined above, will not be successful unless there are procedures to insure consistency, continuity and accountability of treatment — elements missing from many traditional programs. It will be useful to discuss briefly these elements and then indicate in subsequent sections the role of case management in insuring their implementation.

The first element, consistency, refers to a similarity of purpose, goals and philosophy by different agencies and people who process or provide services to the youth. Because of the nature of the juvenile justice system, that consistency is frequently missing. A youth who is apprehended, prosecuted, adjudicated and committed is processed through a series of distinct and disparate stages. Even within each stage, official participants -- police, prosecutor, attorney and judge — often have separate and conflicting roles. Prior to adjudication, these roles do not usually include the provision of treatment. If a youth is adjudicated delinquent, he may be committed to a juvenile correctional agency where the focus shifts to treatment. But even within that latter stage, many different staff provide services, so that, again, similarity of purpose and program is not necessarily followed.

The second element, continuity, refers to an absence of interruption in the juvenile justice process and particularly from the point subsequent to adjudication. Unlike consistency, the question is not whether the current treatment is similar to other prior or subsequent treatment, but whether there is an interruption or gap and whether needed resources are provided, at all. An example is a situation where the intake of a youth into the program is delayed because transportation is not available or paperwork is not processed.

Program accountability is the third element, related in part to the first two. In the present context, accountability refers to the means of holding the program and staff responsible for certain objectives and resources. A program which has implemented procedures for accountability will be able to insure consistency and continuity as well as other objectives. As noted above, these elements are omitted from many traditional programs; and their absence provides the rationale for case management. Case management is the management tool or organizational means of insuring necessary consistency, continuity and especially accountability.

Staff Responsibilities for Case Management

Staff responsibilities for case management are generally divided between at least two levels. The first level is that of the staff person, advocate, reintegration counselor or case manager —who has close communication with the youth and serves as the key program person, representative or broker to insure that gaps are eliminated, that consistency is maintained and that the program provides promised resources and program content.

While it appears that the case manager has functions similar to that of a youth counselor in traditional programs, there are important differences. One difference is the shift of emphasis to that of maintaining consistency and continuity. It entails communicating with and even coordinating other staff to insure that the youth is being helped. Another difference, discussed also in a later section, is a de-emphasis of counseling. While the case manager may provide informal counseling related to program issues, that role is secondary to the management function. Most counseling will be provided by other staff or by agencies under contract.

The second level of case management responsibilities is administrative and concerns accountability. The director of treatment and ultimately the project director must supervise the case manager and establish procedures to monitor whether case management processes for individual youth are being implemented.

The projects have variations in their division of case management responsibilities within the two levels -- case manager and administrators -- and these are summarized in the chart at the end of the paper. In one program, for example, the Assistant Social Work Supervisor rather than the case manager obtains and monitors services. In all projects the case manager participates in decisions regarding the progress of youth, but in some projects other staff also participate in these decisions. These variations are expected and acceptable as long as several processes occur: one person is given primary responsibility for case management, the division of responsibility is clear and there is a procedure for the project administrator to enforce accountability for case management procedures.

There are a variety of processes that occur during the program in which case management at the level of individual client is especially important. These include: planning and coordinating services; evaluating and making decisions about the progress of youth; community liaison and eventual reintegration; counseling; and advocacy. These aspects of the program will now be reviewed in order to discuss in the following section how case management should be implemented.

Case Management Aspects of Program Functions

Planning and Coordinating of Resources

Types of Resources: The first phase of the program is the assessment of youth and the process of planning to insure availability and provision of resources. Resources may be described as formal or informal. Formal resources are services provided by agencies, including, for example, counseling, special education and job training. Informal resources are those provided not by organizations and agencies but by individuals with whom the youth has established a personal relationship outside of or in addition to any professional context of that individual. These individuals include, primarily, the youth's family, relatives and community residents. While these resources can be considered informal, they also can assist in programs like counseling, which are considered formal resources.

Because informal resources have frequently been overlooked in traditional programs, it is important to emphasize that whenever possible, and to the greatest extent possible, the informal resources of the youth should be utilized. In a few cases the family or relatives may not be present, may not be willing to be involved, may not be functioning well enough, individually or collectively to be of help, or may have a negative effect. Sometimes families may be unwilling to participate initially or a youth may object to their participation at first, but then may change and agree to that participation.

The case manager should, nevertheless, encourage their participation through regular visits during the secure phase, through frequent contact during reintegration and through their advising the program in decisions concerning progress of the youth and resources to be provided. Their participation does not imply a formal vote in decisions, but their views should be heard and they should be informed about all decisions. An important measurable and feasible objective may be that projects involve family participation of 80%-90% of youth in the program.

Informal resources include not only family, but also people within the community with whom the youth relates who have an especially beneficial influence. The youth, himself, is the best person to identify those significant people whom he would like to participate. The case manager should then contact them, screen them, encourage them to participate and arrange for transportation and a meeting schedule that will facilitate their participation.

Assessment of Youth: The assessment entails initially a compilation of prior evaluations, including offense history and psychological, health, educational and vocational tests. Within the assessment process, itself, there are a number of necessary coordinating steps: scheduling dates for each assessment, insuring that past assessments are obtained, arranging for any special assessments, scheduling conferences of the diagnostic team and insuring that views of informal resources, including family and significant other people, as well as youth are represented. The multiplicity of related tasks and variety of staff allows the possibility of omissions and conflicting procedures. To avoid these, it is important that case management responsibility for the flow of the process is clearly defined.

Resource Provision Plan: After assessments are completed and reviewed by the diagnostic team, the results and implications of the assessment must be communicated to those including, usually, the diagnostic team, who are preparing the treatment plan. The plan is a major case management tool to insure accountability of the program and its efforts to provide consistency and continuity. The plan includes long range goals specifying behaviors and skills, objectives which break the larger goals into specific achievable results; and an action plan to meet these objectives. The plan is expected to be quite specific for the immediate two months and incorporate both behavior by the youth and expected services that will be available.

The case manager or other responsible staff person is expected to use the plan as a work schedule, a timetable of expected events, and then as a

monitoring tool to insure that needed resources are provided, as expected, and to identify any departures from the plan.

The youth will cooperate to the degree in which he participates in the decision making process and can influence the content of the plan. The program must identify points in the preparation of the plan where that participation must be insured.

In some areas, the youth may have virtually no decision-making role. It may be mandatory, for example, that he attend training sessions. In other areas, he should be given genuine options; e.g., a choice of type of training. Almost as important as the degree of participation is the clarity of the role in that process. It is important for the staff to delineate areas of limited and those of open choices and not pretend that choices are open in areas where they are not.

Client Control

Performance Contract: The long range and especially short range plans serve as the basis for a related program feature — the performance contract. This agreement between youth and program consists of several components. First, it includes a statement of expected behavior on the part of the youth during the life of the program, and particularly during the first few months. Related to that is a statement of rewards for compliance and sanctions for misbehavior.

The primary purpose of the contract is to hold the youth accountable, especially to himself, for his actions. If his performance is good, he can directly connect rewards to that behavior. If not, he is less able to blame the failure on others. A second purpose is to make explicit the

obligations of the program to the youth, especially those related to the provision of services.

The performance contract is a formal and explicit statement of resources that the project will provide and it is useful in insuring accountability as well as implementing consistency and continuity. It is a means for the program staff and, in turn, the project director to make sure that promised services are delivered.

While the concept of a performance contract is modeled after business contractual agreements, there are differences which have consequences for case management. Unlike usual business arrangements, the youth generally is not free to refuse to enter into some type of agreement. There is, therefore, an element of duress usually not present in business contracts. And while there is some latitude and compromise by project staff in specifying expected behavior, in many areas the youth's objections on specific points may be overruled.

The absence of a completely voluntary participation by the youth, however, does not make the process of entering into performance contracts meaningless or deceptive as long as the case manager does not pretend otherwise.

Both the resource plan and performance contract require revision at the time the youth progresses to a new treatment phase and within treatment phases as well. A staff review of the youth's progress which may result in revisions of resource plan or performance contract should occur at least monthly and should involve not only staff, but also family and other resources.

Decisions About Progress of Youth: Responsibility for the decision regarding movement of youth throughout the program is another important case management issue. Whoever is responsible must insure that staff have all necessary information. Furthermore, someone, preferably the case manager, must explain to the youth the reason why he is progressing or not progressing to a subsequent stage. The reasons for decisions must be stated clearly in a comparison of actual youth behavior to behavioral criteria specified in the youth's contract. The youth must also have an opportunity to appeal any decisions regarding punishment or progress. Again, case management will insure that this occurs.

The participation of family and other significant people are as important in decisions about progress of the youth as they are in initial decisions regarding the plan. Especially when staff are considering moving the youth from the transition or reintegration phase back into the secure phase, the case manager may decide not to seek advice of others. The situation may involve considerable tension. The case manager and other staff may feel that an uncomfortable decision has to be made and that they have the responsibility to make that decision, internally. But this is precisely the kind of situation where the informal resources or network can be asked to participate and may suggest feasible alternatives. In any case, the final decision will still rest with program staff.

Monitoring the Provision of Formal Resources

An important issue regarding the delivery of service concerns the selection and monitoring of contractual services. Youth will need

specialized services and it may be more efficient to obtain these services from other providers under a contractual arrangement than to hire specialized staff. Another advantage of obtaining contractual services is that the youth establishes contact with an agency which serves clients who are not offenders. The negative message received by youth who are provided services directed only at the violent juvenile offender is diminished; and the possibility of continuing to receive those services or others, if needed, after release from the institution is increased. In some cases, services can be obtained at no cost. In those cases, it is still useful to have a written agreement with the providing agency

Whether the providing agencies are contracted or not, it is important again for case management and purposes of consistency, continuity and accountability that the project monitor those services. Most important, it is necessary to insure that services are provided as planned. Other criteria are also applicable: quality of service, timeliness, attitude of provider toward youth, willingness of the agency to communicate to program staff and involvement of agency staff in the program. The project should develop indicators for criteria which it will use to monitor resources provided and then develop a system to implement that monitoring process.

Community Liaison and Reintegration

Reintegration is the goal of the project and perhaps the aspect most omitted from traditional juvenile corrections programs. Without successful reintegration any gains made during the secure and transition phase will be erased. A particular challenge to case management, therefore, is to insure that planning for reintegration is initiated at

the time the youth enters the program. To accomplish this planning, a staff person should identify people and resources in the community, particularly those agencies which serve not only delinquent youth and who can assist in reintegration.

During reintegration the role of case management will be especially important. The youth is subject to more pressures and less control than during the secure setting or community-based residence stages including, in most cases, peer pressures from old gang members or delinquent associates. Furthermore, it is harder for staff to maintain surveillance and the array of sanctions available to the case manager are different. Contact with the youth and the effort to provide services (and, in doing so, to provide alternatives to resumed delinquent activity) is more time consuming than similar functions during the secure phase. On the other hand, competing demands of other youth still in the secure phase are more visible and immediate and may, therefore, tend to get higher priority from project staff and project administrators. It is crucial, nevertheless, that the requirements of community liaison and reintegration be fulfilled and that case management procedures established to insure that these occur.

Counseling

Counseling is, of course, a traditional function of a youth counselor. It encompasses listening to the youth, providing advice and discussing and interpreting program goals and activities.

The role of the case manager includes counseling but it is not a primary function. The counseling is informal and a secondary role of the case manager. It is in addition to other scheduled individual, group and

family counseling that the program offers and which the case manager may possibly lead.

Advocacy

Advocacy is instrumental in case management. Its importance results, in part, from the fact that the police, judiciary, agency service providers, potential employers, residents of the youth's community, his family and staff of the program each have different and sometimes conflicting responsibilities and perspectives relative to the youth. In some cases these actors may be indifferent or, in other cases, antagonistic to the youth. The advocate, who is almost always the case manager, represents the youth in certain situations; but the goal is to assist the youth in the understanding of problems, identifying solutions and expressing his point of view to others, and to become his own advocate. Because the youth may not always be a successful self-advocate, the case manager should also teach the youth to involve other advocacy resources. This includes, first, the youth's family; secondly, the youth's informal network; and third, agencies who are or were providing resources under contract to the youth.

Before the case manager can assist the youth to do self-advocacy, he or she must understand the youth's needs and perspective. There must be, in effect, an investment of faith by the advocate and youth in each other.

Because advocacy is a relatively new concept or possibly a new term for a traditional concept, it may be useful to discuss different types of advocacy. One type of advocacy is directed at officials and others who can affect future decisions of the juvenile justice system. Judges,

police, prosecutors, defense attorney and victim can either support the juvenile after his release from the secure setting or insure his failure. One of the functions of the case manager is to attempt to reduce antagonisms toward the youth by communicating the purposes of the program to decision-makers and keeping them informed of the progress of the youth.

Still another important part of the advocacy function is getting organizations and agencies to provide resources. Examples are the public school system or job training center. Another type is related to the family. This type of advocacy involves the case manager in a mediating role. But it also means changing attitudes of family members towards the youth and vice versa. Closely related to this advocacy function is the task of helping the family gain the skills to change interactions among all members. Families should be encouraged to participate in the service planning process; receive family counseling and parent-effectiveness training, where needed; visit the youth in the institution; and help integrate the youth upon his return.

The most sensitive aspect of the advocacy role is within the program itself. A staff person may treat the youth unfairly, or in some case the interest of the youth are in conflict with the interests of the project. An example of the latter might be a situation where the youth would benefit from a furlough, but the project director may feel that the project cannot take a risk that the youth will not return. The youth, himself, has the first responsibility to state the case and involve, if necessary, informal resources as advocate. Because the advocacy in this special case is directed against the program itself the case manager has the responsibility

to become involved and help state the case for the furlough.

Another part of advocacy has a wider focus. It involves getting private agencies and governmental organizations to change practices or provide resources, not for individual youth, but for juvenile offenders in general. In that instance the advocate, the program, and other concerned agencies may develop a strategy to inform others of the problem and to enlist cooperation in changing practices and providing needed resources. This may include changing agency procedures, program policies or legislation.

An outgrowth of the advocacy relationship is not only more effective self-representation by the youth. The intent is to further other treatment goals, as well, by communicating to the youth that someone cares enough and has sufficient confidence in the youth to trust the youth in situations where the case manager's judgment is that treatment goals outweigh any minimal risks.

Summary

This paper has explained the concept and implementation of case management in projects funded under the violent juvenile offender research and development program. The objectives of case management -- consistency, continuity and accountability -- were explained; and the division of staff responsibilities for case management were outlined.

The major section of the paper described how case management can be used to insure that the objectives stated above can be met in each of the primary program functions. Among the functions discussed was the planning

and coordinating of resources; and particularly emphasized was the need to encourage the participation of the youth and informal resources in that process.

Aspects of client control, primarily performance contracting and decisions regarding the progress of youth were discussed. The monitoring of formal resources and the important and frequently overlooked role of case management during reintegration were explained. Finally, the role of case manager in relationship to counseling and advocacy was analyzed.

In summary, the paper has presented an overview of the process of case management and explained within each major aspect of the program how case management can insure its stated objectives. The intention and expectation is that case management will help achieve the effectiveness of the research and development intervention strategy and by so doing, improve the lives of program youth.

CASE MANAGEMENT

	BOSTON	DENVER	MEMPHIS	NEWARK	PHOENIX
1. Planning and coordinating services:					
a. Who prepares the service plan?	Case manager and secure treatment worker.	Treatment team, including project director, director of treatment, case manager and New Pride teacher review and decide.	Case manager prepares plan. Senior reintegration counselor reviews and approves plan.	Treatment team which includes project director, social worker, teacher, instructor counselor, psychologist as well as case manager.	Treatment team (project director, correctional counselor, therapeutic counselor, case manager) prepares plan.
b. Who obtains and monitors services?	Case manager	Case manager	Case manager	Assistant social work supervisor.	Case manager
2. Decisions about progress of youth.					
a. Who evaluates the youth routinely?	Case manager and appropriate secure or non-secure worker.	Case manager "routinely" evaluates during secure and transition stages; case manager and New Pride staff evaluate during reintegration.	Case manager reviews cases with staff at weekly meetings.	Treatment team formally evaluates youth each month and informally more frequently.	Case manager evaluates youth weekly. Formally evaluates youth each month.
b. What criteria are used?	Those specified in contract.	Those specified in contract.	Achievement and performance in meeting specific behavior based objectives.	Progress toward established objectives.	Youth behavior and achievement in meeting performance goals.

CASE MANAGEMENT

	BOSTON	DENVER	MEMPHIS	NEWARK	PHOENIX
3. Case manager functions?					
a. Counseling	Yes, Case manager provides counseling and reality therapy.	Case manager provides primary group and family counseling, and secondary individual counseling; supervises case workers who provide primary individual counseling	Yes, both individual and group.	Yes	Yes; there are three community counselors from OK community who specifically do counseling.
b. Advocacy	Yes	Yes	Yes	Yes	Yes
Follow through					
c. Does one case manager follow youth from entry through reintegration?	Yes	Yes	Yes	Yes	Yes
d. Does case manager have other responsibilities other than case management?	No	No	No	Yes, there is not one specific position "case manager." Any designated staff person can have case management responsibility for a specific youth.	No
4. How many case managers will be hired?	6	2	2	Potentially 23 (the number of staff)	3

CASE MANAGEMENT

	BOSTON	DENVER	MEMPHIS	NEWARK	PHOENIX
5. Does case manager decide on movement of youth through the program?	Yes, within guidelines, case manager decides on release into residential program; case manager and staff decide on release from residential stage.	Treatment team makes recommendation regarding release to transition. New Pride and case manager recommend release from reintegration. Project director submits proposed decision to advisory board prior to making his decision.	Upon recommendation of project director, Judge approves release at end of each of the three major stages.	Treatment team (which includes case manager) makes decision on internal movement. Project director decides release to transition. Project director recommends and Parole Board decides on release to reintegration and from reintegration	Treatment team (which includes case manager) makes decision on release to reintegration stage.

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