



Case Management Evaluation Rubric

Higher Education Case Management Association

Evaluator Name: _____

Dates of Evaluation: _____

Rating Guide:	Rating Description:
N/A	Not applicable to the current case management structure
II	Insufficient Information - the reviewer lacked sufficient information from which to make an informed decision/evaluation of this criteria
1	AREA OF FOCUS - Item or area not present
2	DEVELOPING - Item or area is addressed in most basic form, may omit details and/or be incomplete
3	ACCOMPLISHED - Item or area is clearly addressed, well documented, readily available for reviewer and has been implemented
4	EXEMPLARY - Item or area exceeds reviewer's expectations by being accomplished and demonstrating evidence-based practice, best practices and/or has been thoroughly assessed

Note: The functional areas and evaluation criteria provided below are designed as a template for external or self-evaluation. A rating of Accomplished or Exemplary on one or more items is not an indication the the case management proram is meeting the needs of all students; it is only an indication that the program has met or exceeded expectations for an area identified as a guideline for practice among college case management programs nationally. Through this evaluation, HECMA is neither certifying nor endorsing the overall effectiveness of the case management program.

1.0 Program Mission and Learning Outcomes		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Sources of Evaluation: webpage; marketing/outreach material; annual reports; assessment summaries, policy manual</i>				
1.1	Mission statement exists and is publically accessible			
1.2	Mission statement is consistent with the overall mission of the University			
1.3	Mission statement is consistent with professional standards of practice			
1.4	Mission statement is appropriate for the student population			
1.5	Mission statement references learning and student development			
1.6	Mission statement is reviewed periodically			
1.7	Learning outcomes exist and are publically accessible			
1.8	Learning outcomes are consistent with the mission of the program			
1.9	Learning outcomes are consistent with professional standards of practice			
1.10	Learning outcomes are realistic and practical given the environment and structure of the program combined with the degree of contact with students involved			
1.11	Learning outcomes are assessed periodically			

2.0 Case Management Philosophy		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation: mission statement; interview with case manager</i>				
2.1	The case manage program is able to articulate a case management philosophy (whether formal or informal) that is reflected in the program's marketing - a set of core principles that aid in guiding the case managers' response to student needs and daily practice. Effective philosophies tend to highlight a desire to make the student responsible, allows for generous student feedback and perspective giving, and establishes goals based on student need first. [1]			

3.0 Campus Outreach / Marketing / Training		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation: webpage; brochure; crisis response folder; facebook page; resource guides/sheets; emergency response protocols; presentations; tabling events</i>				
3.1	Outreach materials provide a description of the case manager's role and mission [2]			
3.2	Outreach materials demonstrate types of behaviors that are defined by the case manager's role [3]			
3.3	Outreach materials distinguish between classroom disruptions and concerning behaviors [4]			
3.4	Outreach materials emphasize "success and wellbeing" of students over "threats to campus" [5]			

3.5	Outreach materials provide clear instructions for how to proceed in an emergency situation [6]			
3.6	Outreach materials provide clear instructions for how to proceed in a non-emergency situation [7]			
3.7	Outreach is conducted using multiple methods (i.e. use of traditional presentations and trainings, social media, web presence, paper marketing, etc.) [8]			
3.8	Outreach materials are tailored to meet the needs of a variety of constituencies (i.e. faculty messaging v. student messaging v. parent messaging) [9]			
3.9	Outreach efforts are specifically targeted toward students in an effort to encourage peer referrals [10]			
3.10	Current outreach efforts have the practical potential to reach large populations			
3.11	Outreach efforts are targeted in a periodic manner that is consistent with the institution's academic schedule (e.g. faculty are sent reminders prior to exams) [11]			
3.12	Outreach efforts are assessed annually to determine which departments or schools are less likely to make referrals [12]			

4.0 Protocols for Reporting Concerns - How Cases Get to Case Management		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
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<i>Source of Evaluation: Written protocols, online materials, interview with case manager, review of online referral forms, review of response/feedback emails, sample case files</i>				
4.1	The case management program has adopted a standard protocol for receiving reports regarding concerning, worrisome, or threatening behaviors (e.g. centralized reporting structure, multiple input reporting structure that leads to centralized database, etc.) [13]			
4.2	The reporting protocol emphasizes a single point of contact for referrals; [14]			
4.3	The reporting protocol clearly identifies multiple channels through which those making referrals can submit concerns (e.g. webform, phone, email, etc.) [15]			
4.4	The reporting protocol allows those making referrals to do so anonymously			
4.5	As part of the reporting protocol, those submitting concerns receive confirmation that the referral has been received and will be reviewed within a specified period of time; [16]			
4.6	As part of the reporting protocol, those submitting concerns are contacted routinely to determine if they have additional information or concerns [17]			

5.0 Initial Outreach to Students		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
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<i>Source of Evaluation: procedures manual, initial outreach scripts/emails, interview with case manager, interview with students, assessment data</i>				
5.1	The case management program has adopted a standard outreach protocol for initial outreach once a report of concern is received;			
5.2	The medium (e.g. email, phone) for initial outreach is practical in terms of it's likeliness to result in student responses			
5.3	The initial outreach is sent promptly while taking into consideration the nature and urgency of the concerns presented			
5.4	The initial outreach is worded objectively and in a manner that is not designed to induce fear;			
5.5	The initial outreach describes the mission/purpose of the case management program			
5.6	The initial outreach establishes goals for program participation that are realistic and designed to meet the needs of the student			
5.7	The initial outreach designates that the case management program is not connected with a student conduct (or disciplinary) purpose			

6.0 Behavioral Assessment		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
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<i>Source of Evaluation: Case Manager intake form; interview with case manager; review sample case and collateral contact notes</i>				
6.1	The case management program has sufficient access to student data in order to provide a robust understanding of the student's history with the institution (e.g. access to student information systems, application data, housing data)			

6.2	The case management program utilizes behaviorally based and individualized assessment methods when working directly with students			
6.3	The behavioral assessment addresses multiple dimensions of a student's needs and concerns (i.e. the assessment does not focus solely on a singular area of a student's experience)			
6.4	The behavioral assessment takes into account the cultural and linguistic needs of the student [18]			
6.5	The behavioral assessment utilizes appropriate and valid assessment instrument when relevant to gain quantitative and qualitative understanding of a student's needs			

7.0 Behavioral Interventions		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation: sample case file review (case notes, collateral contacts, ROIs,) interview with case manager, guidelines for intervention protocol, data summary of interventions by concern type</i>				
7.1	Goals for intervention are established in order to assess measurable progress during follow-up			
7.2	Goals for intervention are mutually agreed upon (developed through collaboration with the student) [19]			
7.3	Behavioral interventions are identified based on immediate, short term, long-term, and ongoing needs;			
7.4	Behavioral interventions that would require the release of protected health or educational information are first discussed with the student and appropriate releases are obtained (please see 'Privacy and Ethics' infra)			
7.5	The case management program has established a common assessment protocol with regard to commonly reported concern types (i.e. similar assessments are conducted based on similarly situated concerns)			

8.0 Follow-up/Monitoring		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation: procedural protocol (oral or written,) interview with case manager; sample case file review</i>				
8.1	The case management program has adopted a standard protocol for post-meeting communication with students			
8.2	The case management program employs ongoing assessment and documentation to measure the client's progress [20]			
8.3	The post meeting communication with students summarizes resources, referrals, and other behavioral interventions that are narrowly tailored to the needs of the individual student's behavioral concerns			
8.4	The case management program has established a standard follow-up protocol with regard to commonly reported concern types			
8.5	The follow-up protocol is designed to provide an appropriate continuity of care given the concerns being addressed			
8.6	The follow-up protocol is consistent with the learning outcomes promoted by the case management program			
8.7	The case management program follows-up with students based on known, periodic concerns (e.g. anniversary events, impending crisis-related dates, etc.)			

9.0 Finalization of Services		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation: procedural protocol, interview with case manager, review of sample case file</i>				
9.1	The case management program has adopted guidelines for finalizing (or closing) cases involving reports of concern [21]			
9.2	The case management program has adopted or utilizes clear standards for identifying when a case is eligible to be closed (or terminated).			
9.3	The case management termination guidelines include a demonstration by the student that the student is knowledgeable about available resources			
9.4	The case management termination guidelines include a demonstration by the student that the student is committed to utilizing available resources if needed			

9.5	The case management finalization guidelines include an assessment by the case manager that the primary triggers leading to a heightened concern for the student's wellbeing have been mitigated, either by reduction in the concern itself (e.g. environmental changes, behavioral changes, change in insight or attitude), or with the introduction of mitigating buffers (e.g. enhanced safety planning, increased coping strategies, change in support network)			
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10.0 Referral Management		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation: resource database; collateral contact notes; interview with case manager, assessment data</i>				
10.1	The case management program maintains a database of community agencies ("referral database")			
10.2	The referral database includes a diverse range of community services that address a range of social and personal needs (i.e. needs related to therapy, medical, social services, housing needs, financial needs, etc.)			
10.3	The referral database is assessed periodically for accuracy of information (e.g. correct contact information, type of service provided, insurance information, etc.)			
10.4	Referrals to community agencies are narrowly focused to meet specific student needs (e.g. model of therapy, insurance type, etc.)			
10.5	The case manager provides referrals in written form that include directions for contacting the community agency and methods for providing feedback regarding the agency			
10.6	The case management program ensures proper followup with the student or agency to ensure a stable connection to the community health agency			

11.0 Record Keeping		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation: review of records keeping methodology, interview with case manager, review of access privileges, list of individuals and titles with access, confidentiality agreements, access training guides</i>				
11.1	There exists a current system for cataloging, tracking, and maintaining records			
11.2	The record keeping system is secured in a manner that is protected from outside access			
11.3	The files related to the record keeping system maintained separately from other institutional databases (e.g. conduct database, counseling database, etc.)			
11.4	Those with access to the record keeping system are trained sufficiently regarding issues of access and confidentiality protocols			

12.0 Use of a Multidisciplinary, University Wide Team Approach		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation: team protocol/procedures manual, interview with team members, review sample case files, shadow a meeting, review training history, attendance history, meeting history</i>				
12.1	The Case Management Program functions as part of a University-wide, multidisciplinary team with the purpose of identifying, assessing, and mitigating risk to self or the community (e.g. a CARE team, BIT team, or other related entity) [22]			
12.2	The multidisciplinary team has a working set of procedures for identifying the scope of the team, membership of the team, decision making process, and measures of success [23]			
12.3	The multidisciplinary team consists of members from academic and non-academic departments			
12.4	The multidisciplinary team has established expectations for member performance and participation; [24]			
12.5	The multidisciplinary team engages in periodic trainings on team procedures, legal and policy updates, case evaluation protocols, and other relevant topics; [25]			
12.6	The multi-disciplinary team participates in periodic team-performance reviews; [26]			
12.7	Multidisciplinary team members are automatically alerted when a new referral is submitted; [27]			
12.8	The multidisciplinary team meets regularly (i.e. once a week, biweekly, etc.); [28]			
12.9	The multidisciplinary team maintains a structured agenda for regular meetings and distributes the agenda to all members prior to the session; [29]			
12.10	Multidisciplinary team members have access to information regarding each person on the agenda prior to the regular meeting for the purpose of review; [30]			

12.11	Multidisciplinary team members are encouraged to review records prior to each regular meeting and share information about persons of concern with the chair/leader of the team; [31]			
12.12	Multidisciplinary team members are encouraged to update records before meetings and after conducting case follow-up; [32]			

13.0 Legal and Ethical Obligations		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation:</i>				
13.1	The case manager has undergone sufficient training on relevant state and federal laws related to student privacy rights (e.g. FERPA, HIPAA) [33]			
13.2	The case manager has undergone sufficient training on relevant state and federal laws related to student access to higher education and accommodations(e.g. ADA, Title II, Title IX)			
13.3	Use of releases of information for contact with counselors, parents, etc.; releases include discussion of informed consent			
13.4	The case management program has adopted a protocol with regard to feedback for those reporting concerns that is consistent with federal, state, local, and school privacy laws/policies			
13.5	Access to case management data balances the need for privacy and best practices for providing community support network for the student			
13.6	The case management program has adopted a protocol for the notification of parents/emergency contacts during crisis situations			
13.7	The case manager(s) maintains a reputation within the campus community as being an ethical practitioner, adhering to the tenets of the code of ethics that underlies his or her professional credential (e.g. social work, higher education, law) [34]			

14.0 Cultural Competency		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation:</i>				
14.1	The case manager is aware of and responsive to cultural and demographic diversity [35]			
14.2	The case manager participates regularly in trainings and other educational opportunities designed to enhance the case manager's effectiveness in working with multicultural populations [36]			

15.0 Campus Relations		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation:</i>				
15.1	The case management program provides effective consultations for on and off campus community members that balance the needs of the individual student and safety to the community [37]			
15.2	The case management program has established formal and informal relationships with a diverse range of campus offices [38]			
15.3	The case management program is described by campus stakeholders as having formed strong, lasting relationships based on mutual trust, attention to ethics, and as generally meeting the needs of the constituency involved			
15.4	The case management program participates regularly on relevant campus standing committees and other initiatives in an effort to network and provide continued support and expertise [39]			
15.5	The case management program has established positive relationships with a range of outside constituencies and stateholders (e.g. area clinics, hospitals, mental health providers, social services providers, etc.)			

16.0 Learning Outcome Assessment and Evaluation		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation:</i>				
16.1	The case management program has adopted learning and administrative outcomes for the program. Learning outcomes can be related to individual students, faculty, staff, the community as a whole, or any of the above. [40]			

16.2	Administrative and learning outcomes are based on sound principles of assessment and/or evaluation (i.e. connected to the mission of the University and program, realistic given the scope and nature of the program, measurable, etc.) [41]			
16.3	Administrative and learning outcomes are assessed on a regular basis [42]			
16.4	The case management program periodically collects and assesses data related to usage, demographics, and other commonly accepted statistics in order to identify gaps in service and outreach needs [43]			
16.5	Results of assessments and evaluations must be used to identify needs and interests in revising and improving programs and services, recognizing staff performance, maximizing resource efficiency and effectiveness, improving student achievement of learning and development outcomes, and improving student persistence and success. [44]			

17.0 Environmental Resources (Finances, Facilities, Staffing)		Evaluation Rating (see rating guide)	Areas of Strength	Areas of Improvement
<i>Source of Evaluation:</i>				
17.1	The case management program has a current staffing model that is realistic and practical given the campus environment, structure of the program, degree of contact with students, and emerging trends in case management [45]			
17.2	The staff supported by the case management program have sufficient training in the areas most relevant to case management in higher education (including institutional-based policies), based on the degree of contact with students, structure of the program, and emerging trends in case management nationally [46]			
17.3	The case management program has technology that is sufficient given the current staffing structure, degree of contact with students, and emerging trends in case management [47]			
17.4	The case management program has space that is sufficient given the current staffing structure, degree of contact with students, and emerging trends in case management [48]			
17.5	The case management program has a budget that supports its goals (including needs for outreach and marketing; internal and external training initiatives; technology enhancements; and staffing patterns) [49]			
17.6	The case management program provides for sufficient opportunities for staff to engage in ongoing professional development to stay abreast of the research, theories, legislation, policies and developments that affect their programs and services [50]			
17.7	The case management program has position descriptions and professional evaluation practices for all professional and student staff members [51]			