

Clinical Guide to Psychiatric Assessment of Infants and Young Children

Karen A. Frankel • Joyce Harrison
Wanjiku F. M. Njoroge
Editors

Clinical Guide to Psychiatric Assessment of Infants and Young Children

 Springer

Editors

Karen A. Frankel
Department of Psychiatry
Irving Harris Program in Child
Development and Infant Mental Health
University of Colorado School of Medicine
Aurora, CO, USA

Joyce Harrison
Department of Psychiatry and Behavioral
Sciences
Johns Hopkins University School of
Medicine
Baltimore, MD, USA

Wanjiku F. M. Njoroge
Child and Adolescent Psychiatry Fellowship
Philadelphia, PA, USA

Young Child Clinic
Department of Child and Adolescent
Psychiatry and Behavioral Sciences
Children's Hospital of Philadelphia
Philadelphia, PA, USA

Policy Lab
Children's Hospital of Philadelphia
Philadelphia, PA, USA

Department of Psychiatry
Perelman School of Medicine at the
University of Pennsylvania
Philadelphia, PA, USA

ISBN 978-3-030-10634-8 ISBN 978-3-030-10635-5 (eBook)
<https://doi.org/10.1007/978-3-030-10635-5>

Library of Congress Control Number: 2019934197

© Springer Nature Switzerland AG 2019

This work is subject to copyright. All rights are reserved by the Publisher, whether the whole or part of the material is concerned, specifically the rights of translation, reprinting, reuse of illustrations, recitation, broadcasting, reproduction on microfilms or in any other physical way, and transmission or information storage and retrieval, electronic adaptation, computer software, or by similar or dissimilar methodology now known or hereafter developed.

The use of general descriptive names, registered names, trademarks, service marks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant protective laws and regulations and therefore free for general use.

The publisher, the authors, and the editors are safe to assume that the advice and information in this book are believed to be true and accurate at the date of publication. Neither the publisher nor the authors or the editors give a warranty, express or implied, with respect to the material contained herein or for any errors or omissions that may have been made. The publisher remains neutral with regard to jurisdictional claims in published maps and institutional affiliations.

This Springer imprint is published by the registered company Springer Nature Switzerland AG
The registered company address is: Gewerbestrasse 11, 6330 Cham, Switzerland

This book is dedicated to our families Doug and Jess Carrel; Mbugua, Josephine, Njoroge M. Njoroge, and Suzanna Reiss; and John, Matt, and Kat Harrison, who supported us, tolerated us, and loved us while we undertook this effort across the years and globe.

Foreword

The validity and the importance of early childhood psychopathology have both become increasingly clear over the last two decades. An expanding body of empirical research on the manifestations, longitudinal outcomes, and neural correlates of psychopathology in young children, as well as the unique efficacy of early intervention, has catalyzed this field. Disorders of infants and preschoolers are now a widely accepted clinical phenomenon and of interest to groups beyond those with a specific focus on early childhood development and psychopathology, to those practicing in mainstream mental health. Based on this, the need for clear guidelines on developmentally sensitive and appropriate assessment techniques has taken on even greater importance and urgency. Innovations in this area have facilitated the clinical research providing the advances in our ability to detect and understand the etiology and course of early childhood psychopathology. Now, many of these methods and measures can be utilized in clinical settings and may serve as very useful tools for conducting an age-appropriate and clinically meaningful assessment as outlined in the following chapters.

The chapters contained in this volume outline developmentally sensitive principles and approaches to the clinical mental health assessment of young children. While these methods may be applied using a variety of adaptations and forms and in different clinical settings, it is important to note that such developmentally specific approaches are critical to obtaining a valid and clinically meaningful mental health assessment of a young child. Failure to utilize age-appropriate methods may result in both overdiagnosis and failure to detect symptoms and disorders of the young child. Several central principles underlying the unique features of the assessment of the young child are outlined in the book. First is the central importance of the dyad to the emotional and social functioning of young children and the related need to conduct the evaluation in the context of the caregiver-child relationship. Related to this, the assessment of parenting style and internal representations which impact parenting is also central and elaborated upon in several chapters. These issues while important in all child assessments are critical to the mental status exam and diagnostic formulation of the young child. The importance of the play setting and the use of play as the medium of expression is also a central theme. Several

other principles are key, such as the need to consider behavior in context (including relationship context) and the need to assess the child with different caregivers and on more than one occasion to account for the significant effect of state on a young child's mental status. The reader can utilize the information in this volume to apply these methods and principles to conduct an age-appropriate mental health assessment of young children.

This volume also touches on diagnostic systems that can be applied in early childhood, reviewing the merits and limitations of both DSM 5 and DC:0-5. While it does not provide a review of empirically supported treatments for mental disorders in young children, it does touch on more global issues such as how to assess for the need to evaluate the potential use of psychopharmacology. The volume, while not prescriptive, provides a comprehensive overview of the key principles to be considered and numerous tools and approaches that can be utilized in the age-appropriate mental health assessment of the young child. Importantly, a true embrace of these principles and methods is nothing short of prerequisites for the appropriate and accurate mental health assessment of the young child. This comprehensive book provides a highly clinically useful review of these essential principles.

Washington University
St. Louis, MO, USA

Joan L. Luby

Preface

We are pleased to offer this volume as a hands-on guide to the assessment of very young children and their caregivers. Each of the editors (and most of the authors) has worked for decades in the area of infant and early childhood mental health, training and teaching new generations of providers. Joyce, Wanjiku, and I have longed for a single text that brought together resources describing the comprehensive process of evaluating infants, toddlers, preschoolers, and their caregivers. Infant and early childhood mental health is a complex subspecialty of child mental health which takes a unique lens toward assessment—one that is relationship-based, contextually grounded, culturally sensitive, and diversity-informed and requires competence in adult, child, and relationship assessment skills. Learning all of these domains can be daunting for trainees and seasoned professionals as well. We hope this volume will make the task more accessible and enticing!

This volume is intended to provide conceptual frameworks as well as specific information on the “how-to’s” of conducting an infant/early childhood evaluation. We intend that each chapter can stand alone to teach a particular type of assessment and/or skill and that the complete text will provide a guide to a thorough and comprehensive evaluation. Each chapter highlights the particular principles of assessment that apply to that domain and describes specialized tools that can be used by the clinician in academic, public, and/or private practice settings. This volume imparts to the reader the critical importance of understanding culture and diversity such that special attention is paid to the role of culture and its impact on assessment of families with young children. Finally, each of the chapters concludes with a brief case vignette which hopefully brings the material alive and illustrates the use of the highlighted tools.

Aurora, CO, USA

Karen A. Frankel

Acknowledgments

We would first like to thank Springer for approaching us with the request to edit this book which turned out to be the answer to prayers we didn't know we had. Second, thank you to all of our wonderful chapter authors who, as experts in each of their respective fields, provided state-of-the-art information and a reassuringly consensual approach to evaluation in early childhood. It is with deepest gratitude that we would like to thank all of our mentors, supervisors, and teachers, who taught us about infant mental health. These dedicated, brilliant, hard-working leaders in the field of infant mental health took the time to nurture our interests and development in this field. Here are but a few we wanted to recognize: Kathy Barnard, Irene Chatoor, Robert Emde, Robert J. Harmon, Linda Mayes, Christiana Mills, Kyle Pruitt, Charley Zeanah, Zero to Three, and the Irving Harris Foundation Professional Development Network. Thank you also to Stacey L'hommedieu, our invaluable administrative assistant who tracked every detail of the finalizing of the book.

And a special thanks to the hundreds of babies, toddlers, young children, and families that we have had the pleasure to serve and work with over the course of our careers.

Contents

1	Introduction Assessment in Early Childhood	1
	Rachel Stein, Wanjiku F. M. Njoroge, and Dena M. Dunn	
2	The Art and Science of Obtaining a History in Infant and Early Childhood Mental Health Assessment	21
	Gerard Costa and Carmen Rosa Noroña	
3	Caregiver Perceptions of the Young Child: Assessment and Treatment Implications	77
	Amy Dickson and Shannon Bekman	
4	Observational Assessment of the Dyad	107
	Sherryl Scott Heller, Kate Wasserman, Anna Kelley, and Roseanne Clark	
5	Observational Assessment of the Young Child	143
	Diane Misch, Giovanni Billings, Ji Su Hong, and Joyce Harrison	
6	Assessing the Inner World of the Young Child	185
	Theodore J. Gaensbauer, Sarah Gray, and Virginia I. Hatch	
7	Rating Scales for Social-Emotional Behavior and Development	217
	Leandra Godoy, Alison E. Chavez, Rachel A. Mack, and Alice S. Carter	
8	Diagnosis in Young Children: The Use of the DC:0-5™ Diagnostic Classification of Mental Health and Developmental Disorders in Infancy and Early Childhood	253
	Kathleen Mulrooney, Helen Egger, Stephanie Wagner, and Lauren Knickerbocker	
9	Psychopharmacologic Considerations in Early Childhood	285
	Julianna Finelli and Mary Margaret Gleason	

10 Constructing a Joint Clinical Case Formulation and Treatment Plan with Families 327
Vivian L. Tamkin, Bhavin Dave, Adeela T. N. Whittaker,
and Karen A. Frankel

Index 357

Contributors

Shannon Bekman University of Colorado School of Medicine, Aurora, CO, USA

Giovanni Billings Vanderbilt University Medical Center, Nashville, TN, USA

Alice S. Carter Department of Psychology, University of Massachusetts Boston, Boston, MA, USA

Alison E. Chavez Department of Psychology, University of Massachusetts Boston, Boston, MA, USA

Roseanne Clark School of Medicine and Public Health, University of Wisconsin-Madison, Madison, WI, USA

Gerard Costa Center for Autism and Early Childhood Mental Health, College of Education and Human Services, Montclair State University, Montclair, NJ, USA

Bhavin Dave Infant and Toddler Mental Health Program, Department of Psychiatry and Behavioral Sciences, Children's National Medical Center, Washington, DC, USA

Amy Dickson Department of Psychiatry, Louisiana State University Health Sciences Center, New Orleans, LA, USA

Dena M. Dunn The Children's Hospital of Philadelphia, Philadelphia, PA, USA

Helen Egger Department of Child and Adolescent Psychiatry and Director, Child Study Center, Hassenfeld Children's Hospital at NYU Langone, New York, NY, USA

Julianna Finelli Department of Psychiatry and Behavioral Sciences Pediatrics, Tulane University School of Medicine, New Orleans, LA, USA

Karen A. Frankel Department of Psychiatry, Irving Harris Program in Child Development and Infant Mental Health, University of Colorado School of Medicine, Aurora, CO, USA

Theodore J. Gaensbauer Department of Psychiatry, University of Colorado School of Medicine, Aurora, CO, USA

Mary Margaret Gleason Department of Psychiatry and Behavioral Sciences Pediatrics, Tulane University School of Medicine, New Orleans, LA, USA

Leandra Godoy Child Health Advocacy Institute, Children's National Health System, Washington, DC, USA

Division of General and Community Pediatrics, Children's National Health System, Washington, DC, USA

Sarah Gray Department of Psychology, Tulane University, New Orleans, LA, USA

Joyce Harrison Department of Psychiatry and Behavioral Sciences, Johns Hopkins University School of Medicine, Baltimore, MD, USA

Virginia I. Hatch Department of Psychology, Tulane University, New Orleans, LA, USA

Sherryl Scott Heller Department of Psychiatry and Behavioral Medicine, Tulane University Medical School, New Orleans, LA, USA

Ji Su Hong Department of Psychiatry and Behavioral Sciences, Johns Hopkins University School of Medicine, Baltimore, MD, USA

Anna Kelley Department of Psychiatry and Behavioral Medicine, Tulane University Medical School, New Orleans, LA, USA

Lauren Knickerbocker Department of Child and Adolescent Psychiatry, and Clinical Psychologist, Child Study Center, Hassenfeld Children's Hospital at NYU Langone, New York, NY, USA

Rachel A. Mack Department of Psychology, The George Washington University, Washington, DC, USA

Diane Misch Department of Psychiatry, Institute for Juvenile Research, University of Illinois at Chicago, Chicago, IL, USA

Kathleen Mulrooney Infant and Early Childhood Mental Health, Professional Development and Workforce Innovations Department, ZERO TO THREE, Washington, DC, USA

Wanjiku F. M. Njoroge Child and Adolescent Psychiatry Fellowship, Philadelphia, PA, USA

Young Child Clinic, Department of Child and Adolescent Psychiatry and Behavioral Sciences, Children's Hospital of Philadelphia, Philadelphia, PA, USA

Policy Lab, Children's Hospital of Philadelphia, Philadelphia, PA, USA

Department of Psychiatry, Perelman School of Medicine at the University of Pennsylvania, Philadelphia, PA, USA

Carmen Rosa Noroña Boston Medical Center, Child Witness to Violence, Boston, MA, USA

Rachel Stein School of Education and Human Development, University of Colorado Denver, Denver, CO, USA

Vivian L. Tamkin The Department of Counseling Psychology, University of Wisconsin-Madison, Madison, WI, USA

Stephanie Wagner Department of Child and Adolescent Psychiatry, and Licensed Clinical Psychologist, Child Study Center, Hassenfeld Children's Hospital at NYU Langone, New York, NY, USA

Kate Wasserman University of Maryland School of Social Work, Baltimore, MD, USA

Adeela T. N. Whittaker JAW Solutions, LLC, Atlanta, GA, USA

About the Editors

Karen A. Frankel, Ph.D. is Associate Professor of Psychiatry at the University of Colorado School of Medicine and Director of the Harris Program in Child Development and Infant Mental Health. Dr. Frankel is a licensed clinical psychologist who has specialized in the assessment and treatment of young children for more than 30 years. She is the supervising psychologist for the University of Colorado Young Child Clinic, the Executive Director for Fussy Baby Network Colorado, and a national trainer for the Diagnostic Classification of Mental Health and Developmental Disorders in Infancy and Early Childhood (DC:0–3R™). Dr. Frankel received her bachelor’s degree from Oberlin College and her doctoral degree in clinical psychology from Indiana University. She completed an internship at the University of Washington School of Medicine and a postdoctoral fellowship through the Developmental Psychobiology Research Group at the University of Colorado School of Medicine.

Joyce Harrison, M.D. is Assistant Professor in the Division of Child Psychiatry at Johns Hopkins University. She received her bachelor’s in psychology from Harvard University and her M.D. from Dartmouth Medical School. She completed an internship in pediatrics in the Triple Board Program at Tufts/New England Medical Center, residency in adult psychiatry at the University of Maryland Medical Center, and child psychiatry residency at Johns Hopkins Hospital, where she was chief resident. Dr. Harrison has received numerous grants and teaching awards, most recently a Special Achievement Award from the American Academy of Pediatrics. Dr. Harrison has been a member of the American Academy of Child and Adolescent Psychiatry’s Infant and Preschool Committee since 2010. She is a staff psychiatrist at the Kennedy Krieger Institute’s Preschool Interdisciplinary Clinic and is currently Project Director for a US Health Services and Resources Administration funded project of Early Childhood Mental Health Tele-education.

Wanjiku F. M. Njoroge, M.D. is Assistant Professor at the University of Pennsylvania, Perelman School of Medicine, and Medical Director of the Young Child Clinic at the Children's Hospital of Philadelphia (CHOP). Dr. Njoroge is the Program Director for the Child and Adolescent Psychiatry Fellowship Training Program in the Department of Child and Adolescent Psychiatry and Behavioral Sciences at the CHOP. She received her bachelor's at Columbia University and her M.D. from Baylor College of Medicine. She completed her adult psychiatry residency training at the University of Pennsylvania and child psychiatry fellowship at the Yale Child Study Center. Dr. Njoroge also completed postgraduate training programs with the Harris Infant Psychiatry fellowship at the Yale Child Study Center as well as a postdoctoral NIMH research fellowship at the Yale Child Study Center. In addition, she was also a postdoctoral fellow at Yale University's Edward Zigler Center in Child Development and Social Policy and a Solnit fellow in the Zero to Three program based in Washington, DC. Dr. Njoroge successfully received multiple research development awards from the National Institute of Mental Health (NIMH) and Eunice Kennedy Shriver National Institute of Child Health and Human Development (NICHD) and teaching awards, most recently from the University of Pennsylvania School of Medicine.