

Illinois Department of Human Services
Maternal and Child Health Programs

Policy and Procedure Manual

Revised October 2022

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1 ADMINISTRATION

1.1 ILLINOIS MATERNAL & CHILD HEALTH PROGRAMS

The IDHS Bureau of Maternal and Child Health (BMCH) aims to facilitate case management services statewide to pregnant & postpartum individuals, and infants; high risk infants and children up to age 2, statewide; and high-risk pregnant individuals in designated locations, with the goal of reducing infant and maternal mortality and morbidity rates at both the state and local level with an emphasis on addressing racial/ethnic disparities in outcome. Services must be provided in a culturally sensitive manner and, acknowledge and respect the differences among the populations served (ethnicity, race, religion, age, gender, abilities, language, and other characteristics).

The Family Case Management (FCM), High-Risk Infant Follow-Up (HRIF), and Better Birth Outcomes (BBO) Programs are funded by Illinois General Revenue funds (GRF) and Social Services Block Grant (SSBG) allocated for Infant Mortality and administered through the Illinois Department of Human Services (DHS), Bureau of Maternal and Child Health (BMCH).

Agencies receiving funding for these programs must follow administrative policies outlined in this Policy and Procedure Manual.

Contract agencies are required to follow obligations as outlined in the Department contract. Local agency procedures must meet the minimum requirements and may not be more stringent than the policies outlined in the Illinois Maternal and Child Health Policy and Procedure Manual.

1.2 LOCAL AGENCY AGREEMENT

1.2.1 LOCAL AGENCY ELIGIBILITY

All public or private not-for-profit organizations, including: Local Public Health Departments, Community- Based Organizations, and Federally Qualified Health Centers recognized by the Illinois Department of Human Services as possessing a demonstrated capability of directing such projects are eligible to apply for DHS MCH Program Grants.

A local agency must directly or through written agreement with another party:

- A. Provide ongoing health services for free, or at a reduced cost, to Illinois residents of areas, or members of populations, with substantial numbers of reproductive – age individuals, infants, and children.
- B. Meet staffing standards. (See Staffing)
- C. Have the facilities and equipment necessary for the provision of case management services to reproductive – age individuals, infants, and children in a confidential setting.
- D. Report known or suspected child abuse or neglect to the area office of the Illinois Department of Children and Family Services (DCFS) in accordance with state and federal statutes.

- E. Be in compliance with Civil Rights non-discrimination laws and regulations.
- F. Assure confidentiality is maintained with collection, handling, and disclosure of client information during all aspects of a client visit.
- G. The agency must agree to help a program client apply for benefits under the Medicaid program.
- H. Physical facilities to be used for serving clients must be comfortable, safe, and clean, and must meet local requirements for fire safety, building construction, sanitation, and health. The agency must be able to furnish proof upon request that all such local requirements have been met. In addition, a space for meetings with clients that is conducive to privacy should be available.
- I. The agency must be capable of delivering services to the target population, demonstrate an understanding of the concept and delivery of case management services, and demonstrate (by written agreements or other means such as letters of support) linkages to relevant service and health care agencies serving the target area.
- J. The agency must be able to conduct outreach activities to the target population and medical providers in the geographic area to be served.
- K. Direct service staff for the program must meet the standards defined for each program in this manual.
- L. The agency must be able to provide services in medical, home, and other settings such as schools and churches.
- M. The agency must maintain an adequate and confidential client records system.
- N. Documentation of all services provided is to be maintained in the Cornerstone System in accordance with the guidelines set forth in the Department's Cornerstone User Manual
- O. The agency must maintain current standing orders and/or must have outlined steps to be followed for abnormal findings on EPSDT exams & developmental screenings documented and updated in the agency policy & procedure manual.

1.2.2 SUBCONTRACTING FOR SERVICES

- A. If an agency must enter into a written agreement with another sub-recipient agency for the provision of services outlined in the Grant Agreement:
 - a. Both agencies shall, in conjunction, meet all the requirements for providing both health and administrative services and are subject to single audit requirements.
 - b. The written agreement must define the program responsibilities of the sub-recipient agency and be approved by DHS prior to finalization of the agreement. The responsibilities include receiving training and monitoring by the agency.
 - c. A copy of such agreement must be on file at the agency and with the sub-recipient agency.
 - d. Must follow Civil Rights non-discrimination laws and regulations.
- B. If an agency must enter into a written agreement with another party or a private physician for the provision of the broader range of health services:
 - a. The written agreement must define the responsibilities of each party and must be approved by DHS during the application process.

- b. A copy of such agreement must be on file at the agency and with the third party.
- c. Must follow Civil Rights non-discrimination laws and regulations.

1.2.3 LOCAL AGENCY GRANT AGREEMENT

The Grant Agreement between the Local Agency and Department serves as the legal document obligating both parties to specify roles in the designated Maternal & Child Health (MCH) Program. The Grant Agreement contains conditions that bind the Local Agency to compliance with the following rules and regulations in addition to any rules and regulations identified in the grant agreement:

- A. [Federal Regulations \(eCFR 200\)](#)
- B. [Illinois Title 77, Section 630 Maternal and Child Health Administrative Code](#)
- C. [Illinois Family Case Management Act \[410 ILCS 212\]](#)
- D. [Developmental Disability Prevention Act \[410 ILCS 250\]](#)
- E. [Prenatal and Newborn Care Act \[410 ILCS 225\]](#)
- F. [Grant Accountability and Transparency Act \(44 Ill. Adm. Code 7000\)](#)
- G. [Grant Accountability and Transparency Act \[30 ILCS 708\]](#)
- H. [Nurse Practice act \(225 ILCS 65\)](#)
- I. [The BMCH Policy and Procedure Manual](#)
- J. [The Cornerstone User Manual](#)

Additional provisions of the Grant Agreement include:

- A. Grant award totals
- B. Reclamation procedures
- C. Termination procedures

Any violation of compliance with the requirements of the Grant Agreement may be grounds for termination or suspension of the Grant Agreement.

1.2.4 ALLOCATION OF MCH FUNDS *(revised October 2022)*

Once the amount of funds available to the Illinois Bureau of Maternal of Child Health is determined:

- A. The Department allocates awards to Local Agencies through a Notice of Funding Opportunity process.
- B. Grant award amounts are allocated on a case-based formula. Grants are then paid on a reimbursement basis each month based on actual expenditures claimed.
- C. The Department – Agency Grant Agreement serves as the legal basis for disseminating funds to local programs. Grant agreements must be signed and properly obligated through the Department and the Illinois Comptroller.

1.2.5 LOCAL AGENCY – RIGHT OF APPEAL

Whenever the Department suspends or terminates a grant, the grantee may have such decision judicially reviewed. The provisions of the Administrative Review Law (Ill. Rev. Stat. 1989, Ch. 110, par. 3-101 et seq.) and the rules adopted pursuant thereto shall apply to and govern all proceedings for the judicial review of final administrative decisions of the Department hereunder.

1.3 FINANCIAL REPORTING AND ADMINISTRATIVE COSTS

1.3.1 COST REPORTING

Local Agency costs for each Maternal and Child Health Program Grant must be broken down and reported separately.

Technical assistance and a description of each line item and examples of activities which may fall into these categories may be requested by emailing DHS.BMCHEDF@ilinois.gov.

1.3.2 ALLOWABLE COSTS

- A. Costs associated with activities considered necessary to meet Program objectives by the agency are allowable and may be charged to the grant.
- B. Program management activities including accounting, auditing, budgeting, and outreach.
- C. Allowable Costs for outreach activities as defined in the Outreach section are allowed. However, health, general education, or other social service activities may not be included as outreach.
- D. Salary and other expenses for staff conducting activities required by the grant must be supported by documentation as described in Time and Activity subsection.
- E. The agency must maintain an internal system of documenting time and activity; and separating activities performed under separate grants. Agencies may choose to use the SV02 documentation in Cornerstone as this system of documentation.
- F. The agency must make its clinical and time reporting records available for inspection by authorized representatives of the Department.
- G. When approved in the plan and budget, funds may be used for the direct costs of operating and maintaining the project. The following direct costs may be incurred:
 - a. Salaries, including fringe benefits for full or part-time personnel employed for the program. The rates for personal services and fringe benefits shall be comparable to that paid to other employees of the agency.
 - b. Fees for consultants and specialists.
 - c. Travel of personnel, consultants, and specialists in carrying out the activities approved in the plan. Reimbursement shall be made in accordance with established delegate agency policies.
 - d. Transportation of clients at the usual rates for the mode of travel that is consistent

with the needs of the client, only once all options through Medicaid Managed Care Transportation Options have been exhausted, may be documented for the Better Birth Outcomes program if these costs are documented in the approved budget

- e. Supplies, as required in the operation of the project. The cost of supplies shall not exceed the lowest charge levels at which they are generally available in the area.
 - f. Rental of privately-owned facilities where adequate space cannot be provided by the grantee agency. Rental charges shall not exceed the lowest rate for comparable space within the community as supported by bids.
 - g. Equipment used in the operation of the project excluding the purchase of vehicles.
 - h. Other expenditures directly related to the provision of project services, such as: telephone service, photocopying and scanning, utilities, etc. Purchases of items or services that do not vary significantly in quality from one supplier to another shall not exceed the lowest charge levels at which they are available in the area. A description for prorating costs must be provided.
- H. Indirect costs may be included as a portion of the overall project costs as defined in the Grant Accountability and Transparency Act (GATA) [30 ILCS 708/15] if the indirect costs are budgeted along with the direct costs.

1.3.3 UNALLOWABLE COSTS

- A. Under no circumstances may the DHS MCH grants be charged in full or in part for the costs of services which are demonstrably outside of the scope of the MCH Program's authorizing statute. *For example, the FCM grant may be charged to screen FCM clients for immunizations and refer and follow-up on FCM client immunizations, but FCM may not be charged for the cost to administer the shot, the vaccine, or vaccine-related equipment.*

Further, costs which are specifically disallowed by applicable Federal cost principles outlines in the 2CFR200 may not be charged to the DHS MCH grants.

- B. Project funds shall not be used to pay the following:
- a. Inpatient care services
 - b. Purchase, construction, or renovation of buildings
 - c. Dues to societies, organizations, or federations
 - d. Entertainment costs
 - e. Cash payments to intended recipients of services
 - f. Purchase or repair of vehicles
 - g. Lobbying
 - h. Any other costs not approved in the plan and budget.
- C. Administrative costs shall not exceed 15% of the total grant award. Any deviation from this must be approved in writing by the Associate Director of the Office of Family Wellness after a review of the circumstances which would require such an exception. The Department will consider the following in determining whether to grant an exception:
- a. the nature of the project,
 - b. ability to find resources in the community which will meet part of the needs of the

- project and thus invalidate the percentage
- c. a targeting of the resources toward one particular component or identified unmet need by the grantee which clearly will inhibit the ability of the grantee to carry out the project

1.3.4 TIME AND ACTIVITY

Each agency must be able to document time, and activity spent by each employee on each grant. This documentation will be used to reconcile against reimbursement request of Personnel costs against each grant during audit and administrative review. The specific format of documenting this time may be determined by the agency, however each report must be signed by the employee, and the employee's supervisor. Cornerstone reports may be used to document time and activity; however, it is not required to be documented through Cornerstone.

The documentation must at minimum contain the following information:

- 1) Identification of the staff person.
- 2) The date on which the activity was conducted.
- 3) Activity type – At a minimum, categories must identify case management; outreach; administration of outreach and case management; accrued benefit time; and other direct services, as follows:
 - a. Time Spent – The amount of time spent on each activity.
 - b. Program – The employee is working in. (FCM, HRIF, and BBO)

1.3.5 PRIOR APPROVAL FOR *PURCHASES* (revised October 2022)

Prior Approval is not needed for:

- 1) Activation of clients
- 2) Clinical costs necessary to provide program services, including referrals
- 3) Outreach to prospective program clients as included in outreach plan and approved budget
- 4) Rental or purchase of non-computer equipment (any nonexpendable item costing the lesser of \$5000 or amount determined in the provider agency's capitalization policy)

Costs allowable with prior approval from the Department:

- 1) Rental space costs – new sites / locations
- 2) Any computer software purchases, such as: word processing, spreadsheet, database, email, presentation, or anti-virus applications
- 3) Any computer equipment purchases, such as: personal computers, monitors, printers, and modems, regardless of cost
- 4) Any items costing more than \$5,000
- 5) Purchase of capital assets, such as: buildings, land, and improvements to buildings or land that materially increase their value or useful life and cost more than \$5,000

All requests for prior approval must be in writing on Local Agency letterhead from the agency to the Department via the Administrative Contract Coordinator. The request must include:

- 1) Item Description
- 2) Model Number/Serial Number
- 3) Unit Cost
- 4) Justification for Purchase
- 5) Percentage of time the product will be used for each program
- 6) Number of Program Full Time Equivalents present in the Local Agency

1.3.6 OUTREACH *(revised October 2022)*

"Outreach" means any activity to find and inform potential program clients of available services. The primary objective of outreach activities is to inform potential program clients of available services, eligibility criteria, and method of accessing services (for example, the name, address, and phone number of the agency). This is not to preclude the use of nontraditional methods of outreach that may be necessary to identify potential participants in hard-to-reach populations, such as persons who abuse substances or engage in prostitution. Acceptable Outreach methods are outlined in Section 1.3.7 of the Program Policy Manual.

The primary purposes of outreach are the following:

1. Build and maintain strong relationships, including execution of Linkage Agreements, with primary care medical providers, including but not limited to physicians, certified nurse midwives, nurse practitioners, physician assistants, and hospital labor and delivery and emergency room personnel.
2. Establishment of a working relationship between the FCMBMCH Agency and Medicaid Managed Care Organizations serving individuals within the Local Agency's service area, as directed by the Department of Human Services.

Costs for outreach may be documented on monthly PFRs for reimbursement if they have been documented in the approved budget under line item 15 known as the Grant Exclusives Line Item.

Costs for Outreach may not exceed 10% of the overall grant amount.

1.3.7 ALLOWABLE COST FOR OUTREACH AND CASE MANAGEMENT ACTIVITIES *(revised October 2022)*

Costs incurred for outreach activities as defined in section 1.3.6 of the Policy & Procedure Manual are allowed. However, health, general education, or other social service activities may not be included as outreach.

- A. Salary and other expenses for staff conducting outreach and case management activities must

be supported by documentation. Expenses incurred for the provision of any other direct service (including client teaching) by staff conducting outreach and case management activities must be excluded. If program staff provide other direct services in addition to outreach and case management, the grantee's time and activity reporting system must distinguish between allowable and excluded costs.

- B. Outreach can include community campaigns such as door-to-door canvassing, production and distribution of handbills, design and publication of newspaper announcements, and production and broadcast of public service announcements or paid advertising on radio or television.
- C. Outreach efforts can be used to establish and maintain Linkage Agreements with social services agencies and other community-based organizations, including WIC agencies and local Public Health Departments (if the Local Agency is an FQHC or other community-based organization), for purposes of early identification and referral of potentially eligible pregnant individuals and infants and for overall coordination of care for enrolled clients.
- D. The agency is expected to pursue partnerships with various community sectors that can provide additional support and services that enhance outreach efforts.
- E. The agency is responsible for identifying more global strategies emphasizing a community-wide approach for all reproductive-age individuals in the targeted services area with an emphasis on the importance of a healthy lifestyle and habits before, during and after pregnancy; the importance of early prenatal care; and preconception/inter-conception health education and safe sleep practices for the infant.
- F. Agency will evaluate outreach activities annually for effectiveness.
- G. Appropriate approved billable Outreach includes, but is not limited to:
 - a. Printing and distribution costs associated with distribution of pamphlets, brochures, flyers, posters, tear-off info posters & similar printed materials about the case management program.
 - b. Printed materials may be given to local entities such as schools, churches, social service agencies & local area service providers.
 - c. Attendance at health fairs promoting contact information and program services, speaking engagements with facilities and their staff as listed above.
 - d. Costs associated with the purchase & distribution of the paperback "What to Expect When You're Expecting" to OB-GYN offices to make available to potential pregnant clients with non-removable attached program contact information
 - e. Costs associated with dissemination of information about the program services through channels such as local community news articles, on the local radio station or TV channel.
- H. Outreach expenditures should be concentrated on activities which access and activate eligible clients to FCM, HRIF, and/or BBO program services.
- I. Written approval must be obtained from the Department for awareness campaigns / promotions, and billboards prior to purchase and/or implementation.
- J. Raffles are not allowable as a means of outreach

1.3.8 TRANSPORTATION *(revised October 2022)*

- 1) Agencies are expected to assist clients in arranging for client transportation as necessary for prenatal care visits and appointments, visits for specialty medical care and/or other appointments specific to the individual's health needs and outlined in the plan of care.
- 2) Agencies must work closely with MMCOs to utilize transportation services provided.
- 3) Transportation costs that are incurred due to inability or lack of availability of MMCO transportation services or for clients not enrolled in Medicaid or a MMCO, may be documented for reimbursement on a monthly basis.
- 4) Agencies should be able to provide proof of attempts to use other means of transportation for clients whenever possible.
- 5) The number of Gas Cards / Public Transportation Tokens purchased for clients should not exceed monthly assigned caseload without prior written approval from the Department.
- 6) Transportation costs may be documented on monthly Periodic Financial Reports (EDFs) for reimbursement if they have been documented in the budget under line item 15 known as the Grant Exclusives Line Item.
- 7) Costs for Transportation may not exceed 5% of the overall grant amount.

1.3.9 PEDIATRIC PRIMARY CARE

In specific circumstances where clients meet the income eligibility requirements for Medicaid, however, due to religious reasons, are unable to enroll in Medicaid services, BMCH funds may be used to pay for Primary Care costs as outlined below.

Agencies may complete the Pediatric Primary Care Determination Worksheet ([Addendum 1.3.9 Determination Worksheet](#)) for pregnant individuals, and children to determine if they meet the following criteria:

- 1) Family income is at or below 318% of the Federal Poverty Level as determined by the current federal poverty guidelines ([Poverty Guidelines | ASPE \(hhs.gov\)](#))
- 2) Are otherwise uninsured (i.e., do not have private insurance) and,
- 3) Are unable to enroll in state of Illinois Medicaid due to religious reasons.

Once eligibility has been determined, the health department may provide the following services:

- 1) prenatal healthcare office visits for enrolled clients
- 2) infants or children under 2 years of age with > 30% developmental delays per Early Intervention (EI) global assessment who need periodic developmental screening
- 3) immunization administration
- 4) vision screening and, or glasses
- 5) hearing screening
- 6) pregnancy testing
- 7) head-to-toe physical assessment (EPSDT visit) on enrolled clients who do not have a recorded EPSDT with their primary care physician
- 8) routine and medically indicated dental services for FCM enrolled infants or pregnant individuals

It is expected that Health Departments will keep a monthly record of claims using the Primary Care

Monthly Claim Form ([Addendum 1.3.9 Claim Form](#)). The CPT / Procedure Service code and Reimbursement Rate should be commensurate with the current HFS Fee Schedule which is found at: [School Based/Linked Health Center Fee Schedule | HFS \(illinois.gov\)](#)

The claim form along with completed Determination Worksheets for any clients that claims are being processed for must be submitted to the MCH Nurse Consultant. Once the claims have been approved the agency will complete the Primary Care Quarterly Summary Report ([Addendum 1.3.9 Summary Report](#)) and submit it along with the Periodic Financial Report (PFR) for the last month of the quarter.

The PFR will include the claim amount documented on the Grant Exclusive line item of the PFR.

1.3.10 INVENTORY MANAGEMENT

Each local agency must maintain full and complete records concerning program operations. This includes maintaining property records as described below.

- A) The Local agency must tag all equipment, valued at \$100 or greater at the time of purchase, with a unique identification number
- B) An inventory must be maintained of all tagged items purchased in full or partially with program funds. The inventory must include:
 - 1) Tag number/Inventory Number
 - 2) Item description
 - 3) Model Number/Serial Number
 - 4) Date of Purchase
 - 5) Unit Cost
 - 6) Location
- C) Agencies using a blended inventory of all items must have a method to clearly indicate items purchased with program funds.

GUIDELINES FOR DISPOSAL OF PROGRAM EQUIPMENT

- 1) To dispose of equipment purchased with Program funds:
 - i) If the item is on a depreciation schedule, and the time frame of depreciation has not elapsed, the local agency must submit a request in writing, on agency letterhead, to the Department at DHS.BMCHEDF@illinois.gov which includes:
 - (1) Item description
 - (2) Date of purchase
 - (3) Unit cost (if available)
 - (4) Justification for disposal
 - (5) Specification of which program(s) item is allocated to
 - (6) Copied to Regional Nurse Consultant
 - (7) Email Subject should read as follows: Agency Name – Disposal of Program Equipment
- 2) If the request is approved, a letter will be sent granting approval to dispose of the equipment. The letter must be kept on file with the inventory records.

- 3) Computer equipment approved for disposal must have all client information erased prior to disposal.

1.3.11 LOCAL AGENCY ACCOUNTING PROCEDURES

A) Accounting System

Each Local Agency participating in a DHS MCH Program must have an established financial management system, which provides complete, separate, and accurate accountability of Program funds. The accounting system in the Local Agency must provide original evidence of:

- 1) Transactions
- 2) A chart of accounts
- 3) Ledgers for posting
- 4) Complete accountability of all obligations, payments, and reimbursements

B) Expenditure Documents

Source documents for expenditures must be available for audit, and records of payment of such expenses must allow for clear audit trails. To qualify for payment, an expenditure must be:

- 1) A documented program expense related to the grant
- 2) In compliance with federal and state regulations including the Illinois Grant Accountability and Transparency Act (GATA) and Federal Uniform Guidance (2 CFR 200)

1.3.12 FINANCIAL DOCUMENTATION AND GRANT PAYMENTS *(revised October 2022)*

The method of payment to Maternal and Child Health grants is by reimbursement of expenditures, unless otherwise specified. Repayment and reconciliation methodology will be documented in the annual agency agreement.

- 1) Local agencies will receive MCH grants payments from the Department, reconciled based on submitted monthly documentation. Failure of the Provider to submit documentation may result in a reduction to the total award. All payments will be reconciled based on submitted documentation. Supporting documentation must be available to the Department upon request including, but not limited to:
 - Receipts from a vendor.
 - Invoices.
 - Electronic order confirmation from a vendor.
 - QuickBooks invoices.
 - Back-up documentation.
 - Monthly narratives.
- 2) Detailed instructions along with the Expenditure Documentation Form (EDF) are provided by the Department at the beginning of the contract period and are sent to the designated Program Administrator and Fiscal Contact.
- 3) Local agencies must adhere to the specified payment terms in their contract agreement.

1.3.13 PROGRAM AUDIT

- A) Local Agencies are required to be audited annually in accordance with 2 CFR Part 200.501 Audit Requirements
- B) 2 CFR 200.425 states “A reasonably proportionate share of the costs of audits required by, and performed in accordance with, the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507), as implemented by requirements of this part, are allowable. Agencies should follow regulatory references in 2 CFR 200.425 for allowable and unallowable and unallowable audit costs. Any direct cost being charged to the program would be based on an organization’s written costs allocation policy which meaningful allocation base and methodology would be included therein.
- C) Allowable and unallowable Audit Costs are addressed in 2 CFR 200.425 (Subpart E – Cost Principles). The Department retains the right to conduct audits of any and all Local Agency MCH Programs. There is no charge to the Local Agency for these audits.
- D) No other audits are required in the MCH Program, nor will outside audits be paid for from MCH funds. The requirements for Audit are set forth in 2 CFR 200 Subpart F and reflected in 44 IL Adm Code 7000.90; allowable and unallowable Audit Costs are addressed in 2 CFR 200.425 (Subpart E – Cost Principles).

1.3.14 LOCAL AGENCY SANCTIONS / RECOVERIES

The Local Agency shall have the right to appeal any sanction or recovery given by Programs or the financial review team to the Chief of the Bureau of Maternal & Child Health

- A) The appeal shall indicate the reason why the sanction should not be imposed and/or why this recovery should not have been made.
- B) The appeal shall be made within thirty (30) calendar days of this imposition of the sanction and/or the recovery of monies from the reimbursement voucher.

1.3.15 CLOSEOUT REPORTING PROCEDURES

The State Fiscal year runs from July 1 through June 30.

- A) Costs must be separated so that expenditures are charged to the fiscal year in which the obligation was incurred.
- B) The separation of costs must occur between the months of June and July to close out the state fiscal year.

1.4 RECORDS

1.4.1 RETENTION OF RECORDS

A. Administrative

The following administrative records shall be maintained by the Local Agency for a period of three years:

- a. All financial record of expenditures, third-party reimbursements, and other project income
- b. An inventory record of all equipment purchased from project funds including (listing shall be cumulative and updated annually):
 - i. A description of the item.
 - ii. Inventory identification (I.D.) number. This can be a manufacturer's serial number or another I.D. number, but it must be permanently affixed to the item.
 - iii. Acquisition date and cost
 - iv. From whom purchased
 - v. Location and condition of the item. No property can be disposed of without prior written authorization of the Chief of the Bureau of Maternal and Child Health. Upon termination of a project, the equipment becomes the property of the Illinois Department of Human Services.
- c. Personnel records for all project staff
- d. Statistical information derived from project activities

B. Client Records

- a. One record containing the appropriate information relative to that person's care shall be maintained on each client.
- b. A record shall be maintained on each individual registered in the project. The record should be designed to accommodate entries by each discipline providing services for that project. Documentation showing preauthorization of services purchased by the project shall be maintained as a part of the individual's client record. All services provided to a particular client by each discipline must be easily reviewable by the other disciplines.
- c. The record shall be useful as an administrative and health management tool.
- d. Client records are to be maintained for a minimum of three (3) years from the date of case closure in Cornerstone.

1.4.2 DESTRUCTION OF RECORDS

- A. Program records that contain client data must be destroyed by incineration or shredding.
- B. Disposal of records intact to a landfill or through a disposal service is not appropriate.
- C. The Local Records Act regulates the destruction and preservation of public records within the State of Illinois. It mandates the Secretary of State, who is named the local records advisor, to assist local governments in implementation of the Act. This Act defines record material, explains the rights to public access of information, and sets standards for record keeping and microfilming. Additionally, the Act provides for the existence of a six-member Local Records Commission which regulates the disposal of local records and specifically forbids local officials

from disposing of any public record without first obtaining their written approval.

- D. Depending upon the local agency's status as a legal entity, the agency may be required to comply with both state and federal guidelines for destruction of records. Agencies which must comply with both state and federal requirements, are those that fall under the auspices of the Local Records Act. The Act defines an "agency" as "any court, and all parts, boards, departments, bureaus and commissions of any county, municipal corporation or political subdivision."

1.5 CONFIDENTIALITY

1.5.1 CONFIDENTIALITY

The following information relating to patients and persons requesting services shall be treated as confidential:

- A. Names and addresses individually or by list
- B. Information contained in reports of medical examinations and treatments
- C. Information about financial resources
- D. Information contained in registers, in case records, correspondence, any forms or notations obtained from or about the individual and family concerning their condition or circumstances, including all such information whether or not it is recorded
- E. Records of state and local health department evaluations of such information

All staff working the BMCH programs must complete the Employee Confidentiality & Compliance Agreement for Programs, to assure that all information is treated with confidentiality. A copy of the form can be requested from the MCH Nurse Consultant at any time.

1.5.2 CONSENT TO RELEASE INFORMATION

- A. Agencies are expected to obtain signed consent or refusal of the following forms:
 - a. Release of Information (ROI) form,
 - b. HIPAA Privacy Rule form, and
 - c. Cornerstone Informed Consent Form from all participants.
- B. Information shall be kept confidential and shall not be divulged except as follows:
 - a. Confidential information may be released only with the guardian or client's consent to agencies, institutions or individuals who are requested to provide maternal and child health services to the guardian, or client as a part of the program of the state agency.
 - b. Confidential information may be released to other state or federal agencies having as their purpose the health and welfare of the gestational parent or child for whom the client or guardian, on their behalf, has requested services. In these circumstances, the information may be released on if adequate assurances are given that:
 - i. The confidential character of the information will be preserved
 - ii. The confidential information will be used only for the purpose for which it is

- made available
- iii. Such proposals are reasonably related to the purposes of the program of the state or local agency and the functioning of the other agencies or programs
- iv. The standards of protection established by the other agencies or programs to which the confidential information is made available are at least equal to those established by the state or local health department
- c. When a signed consent form is received from the client, confidential information must be released to the Department to evaluate the effectiveness of prenatal care, to conduct research to reduce infant and maternal morbidity and mortality, and to assist the Department in the allocation of resources. For clients who consent to collection of such data, the grantee will solely retain all identifying information of the clients (name, address, social security number, phone number) and provide code numbers to the Department in place of such information. The grantee will destroy the consent forms after the Department has completed its review of the data. That consent form will include:
 - i. The name of the person signing the form
 - ii. The name and address of the client
 - iii. A statement of consent to release information for the purposes stated in this section
 - iv. A protection against release beyond the Illinois Department of Human Services.
- d. Information may be disclosed in summary, statistical or other form, which does not make it possible to identify any particular individual.

1.5.3 REPORTING OF CHILD ABUSE AND NEGLECT

- A. MCH Agencies are required to cooperate with investigations conducted pursuant to the Abused and Neglected Child Reporting Act 325 ILCS 5/1 and are conferred immunity by Section 9 of alleged child abuse.
 - a. The cooperation required extends to DCFS
 - b. State Police and designated local law enforcement agencies
- B. There may also be instances in which State of local child protection services contact the local agency for information which might substantiate allegations of child abuse made by a third party, e.g., information on a child's appearance, abnormal interaction between a child and parent, information on missed appointments or a child's medical records. Such requests may be separate and distinct from any responsibility that the state or local agency might have under state law to report instance of child abuse. Therefore, the general disclosure policy shall apply to these requests.
- C. Local agency staff should refer to state or local agency legal counsel to identify a legal imperative to respond e.g., a subpoena that cannot or should not, in the counsel's opinion, be contested or a perceived need to comply with the request in order to avoid any legal liability for possible consequences to the child or failure to provide the requested information.

1.6 DHS ADMINISTRATIVE AND PROGRAMMATIC REVIEW – EVALUATION AND MONITORING *(revised October 2022)*

All DHS grantees will be evaluated per the Department protocol to review the program’s progress according to stated goals, measurable objectives, and administrative operations. The Department or it’s designee will monitor the delivery of program activities through, but not limited to:

- A. Quarterly communication from the Department in which quarterly performance data and trends will be highlighted
- B. Scheduled and as-needed technical assistance at the discretion of the Department to recommend areas of improvement and discuss barriers to program service delivery
- C. Biennial programmatic clinical reviews, as directed by the Clinical and Chart Evaluation Tools, including audit of charts and observation of service delivery.
 - i. The Department will notify provider of any findings of noncompliance in the programmatic clinical review.
 - ii. When a review contains a finding of noncompliance, the Department must require local provider to submit a Corrective Action Plan (CAP), with timelines as indicated in writing to the provider.
 - iii. The Department will monitor provider implementation of Corrective Action Plans and notify the provider in writing once resolved.
- D. Failure to comply with Programmatic Reviews, technical assistance recommendations, or Corrective Action Plans may result in grant program suspension, termination, or submission of the grantee’s record to the Illinois Stop Payment List Tracking System for review.

Chart Review and Clinical Review Tools will be provided to contract agencies by the Department at the beginning of the 2nd quarter of each fiscal year. These will be sent to the Local Agency Administrator and the Program Coordinator of each agency and can be requested from the MCH Nurse Consultant at any time.

1.7 CIVIL RIGHTS

1.7.1 NONDISCRIMINATION

Projects are to be conducted in such a manner that no persons shall be excluded from participating in, be denied the benefits for, or be otherwise subjected to discrimination under such programs on the grounds of age, handicap, race, color, creed, religion, sex, or national origin pursuant to the provision of [Title VI, Civil Rights Act of 1984, \(42 U.S.C. 2000e et seq.\)](#); [Age Discrimination Act of 1975 \(42 U.S.C. 6101 et seq.\)](#).

Affirmative action shall be taken to ensure equality of opportunity in all aspects of employment in

accordance but not limited to the following laws and regulations and all subsequent amendments:

- A. [The Illinois Human Rights Act \(775 ILCS 5/1-101 et seq.\)](#), including, without limitation, [44 Ill. Admin. Code Part 750](#)
- B. [The Public Works Employment Discrimination Act \(775 ILCS 10/1 et seq.\)](#)
- C. The United States Civil Rights Act of 1964 (as amended) ([42 USC 2000a- and 2000h-6](#)). (See also guidelines to [Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons](#) [Federal Register: February 18, 2002 (Volume 67, Number 13, Pages 2671-2685)])
- D. Section 504 of the Rehabilitation Act of 1973 ([29 USC 794](#))
- E. The Americans with Disabilities Act of 1990 (as amended) ([42 USC 12101 et seq.](#)); and
- F. The Age Discrimination Act ([42 USC 6101 et seq.](#))

Periodic reviews of operating procedures shall be made to assure that operating practice continues to be in conformity with the above requirements.

Any person has the right to file a complaint with the Department, the U.S. Department of Health and Human Services, or both, if they believe that discrimination on the grounds of age, handicap, race, color, creed, religion, sex or national origin is being practiced. If filed with the Department, the complaint shall be routed to the Director's office where it shall be reviewed and investigated by a special committee appointed by the Director. A report of final disposition shall be sent to the complainant and to the appropriate federal agency.

1.8 LOCAL AGENCY PROCEDURES

1.8.1 TERMINATION *(revised October 2022)*

- A. All grants shall terminate on the dates specified in the contracts and shall not be extended.
- B. Specific terms and conditions of termination or suspension of the grant is documented in the grant agreement and must be followed by the Local Agency and the Department.
- C. Specific conditions for grantee requesting grant termination or suspension may be considered by the Department.

1.8.2 STAFFING

- A. Staffing for MCH programs would include at a minimum a Program Coordinator, Case Managers, and Frontline/Clerical staff.
- B. Staffing for programs shall be reflective of the community/population being served and services to be provided, i.e., nursing, social work, psychology, and administration. The extent of staffing in the programs shall be dependent upon the program size and availability of personnel.
- C. Ensure staff has access to a Registered Nurse for consultation on medical issues that arise in the Family Case Management Program through employment or contractual relationship.
- D. Agencies shall give assurance that the services will be provided by or supervised by qualified personnel. Qualifications shall be determined by reference to a merit system, established

minimum qualifications, occupational standards, state and local licensing laws, and specialty board requirements. Such standards, laws, and requirements shall be incorporated by reference in the application for a grant.

- E. Standards for each project shall meet state and local licensing laws and regulations and be in accord with national and state standards.
- F. Arrangements for provision of services must be made in advance of implementing the project. Special consideration shall be given to the provision of space for:
 - a. Counseling to assure privacy and dignity for the client; intake interviewing and physical examinations
 - b. The projected client load giving consideration to waiting room, babysitting services, records, bathroom, and for other necessary services
 - c. Space should assure privacy and efficient client flow
- G. Conducting MCH services involves a multi-disciplinary team approach to ensure the delivery of quality services. MCH agencies vary in size and therefore their staffing needs. Agencies must maintain adequate staffing to ensure operations are conducted effectively and efficiently.
 - a. Agencies working with postpartum individuals who experienced loss are to provide postpartum bereavement services from trained staff and/or are connected to trained professional and/or support groups.
- H. To ensure security of the Cornerstone management information system all new users must be approved by the Department before a user ID will be issued. Requests will be processed after:
 - a. The new staff member is entered into the Cornerstone AD30 screen
 - b. The Regional Nurse Consultant has confirmed the new staff with the Program Designee which can be done by emailing the name, job title, start date and for professional staff, qualifications for the position.

1.8.3 IN-SERVICE TRAINING

The staff of the Department in cooperation with the Local Agency staff will conduct in-service training programs for project personnel. Staff involved in the delivery of client services are required to attend.

Project staff are encouraged to attend and participate in appropriate educational programs and professional organizations to provide services in a culturally sensitive manner, and knowledge and respect with an emphasis on addressing racial/ethnic disparities in outcomes.

Agencies are expected to schedule staff to attend the training offered by the Department within three (3) months of working in the MCH program. It is encouraged that supervisors send staff for training at any time regardless of duration of employment when the staff member's performance demonstrates a need to review program deliverables. The MCH Nurse Consultant may at any time require for agency personnel to attend training at any time during their work within the MCH programs.

It is expected that all agency staff working in any of the MCH programs complete implicit bias training within 3 months of employment and annually while working within the MCH programs. The agency should document the type of implicit bias training received and date the training was completed. The

log should be maintained by the agency to account for compliance of staff working within the MCH programs. The log will be requested by the MCH Nurse Consultant during the annual review and may be requested at other times.

1.8.4 UTILIZATION OF COMMUNITY RESOURCES

It shall be the responsibility of each agency to coordinate the services provided through the agency with other sources or care in the community, such as but not limited to:

- A. Illinois Medical Assistance Program
- B. Local Health Departments
- C. Neighborhood Health Centers
- D. Local Child Development Clinics
- E. Division of Specialized Care for Children
- F. Local Hospitals
- G. Local Children and Family Services Programs
- H. Local Schools
- I. Vocational Rehabilitation Services
- J. Regional Perinatal Centers
- K. Local Early Intervention Programs for Infants and Toddlers with Handicaps
- L. Other related social service agencies

1.8.5 AGENCY POLICY & PROCEDURES AND QUALITY ASSURANCE

All agencies contracted with the DHS BMCH is expected to maintain an internal agency policy & procedure Manual that aligns with DHS Policy & Procedures and Contract guidelines.

All agencies must include specific steps to be followed for abnormal findings on Child Physical Assessments, Developmental Screenings, and Depression Screenings. Agencies with a medical director must reflect these steps in their current standing orders in alignment with standard practices.

1.9 MANAGEMENT INFORMATION SYSTEMS

The Management Information System (MIS) for all Maternal and Child Health Programs is Cornerstone. All MCH staff must follow the Cornerstone User Manual expectations for entering and utilizing data to ensure proper service delivery.

Local agencies must adhere to the following system security requirements according to the Cornerstone System Security Plan in the Cornerstone User Manual.

1.9.1 MANAGEMENT CONTROLS

Each program should have a designated security coordinator. The security coordinator's duties are to:

- A. Coordinate with the Department on system access for staff and appropriate access levels.
- B. Ensure MCH employees receive security training via the Cornerstone system, both prior to being granted system access and as annual refresher training for all staff
- C. Ensure that State owned equipment and resources are secure, and that equipment is accounted for by conducting an annual inventory
- D. Conduct yearly audits of active IDs in Cornerstone and terminate any employees no longer working in the program.
- E. Report security incidents to the Department immediately
- F. Ensure continued operations during system disruption

1.9.2 OPERATIONAL CONTROLS

- A. Personnel Security (see HB 901): All personnel responsible for the management, maintenance, operations, or use of system resources and access to sensitive information should have the appropriate management approval. Personnel security also includes establishing and maintaining procedures for enforcing personnel controls.
 - a. The Department must:
 - i. Issue and revoke user IDs and passwords
 - ii. Determine appropriate staff access levels
 - iii. Ensure separation of duties so as to not compromise system data or undermine technical controls.

1.9.3 PHYSICAL CONTROLS

Physical Controls are measures designed to prevent unauthorized physical access to equipment, facilities, material, information, and documents. Physical resources include but are not limited to desktop computers, portable computers, personal information devices, and printers. Rooms containing system hardware and software, such as local area network rooms or telephone closets, should be secured to ensure that they are accessible to authorized personnel only. The Local Agency Grant Agreement identifies specific guidance local agencies must follow to address physical security.

1.9.4 CONTINUITY OF OPERATIONS

- A. Local Agency information must be updated in Cornerstone including:
 - a. Location information
 - b. Holiday schedules

- c. Hours of operation
- d. Services provided
- e. Site contact information

1.9.5 SYSTEM DISRUPTIONS

- A. In the case of a brief (<24 hours) system disruption, such as interruption of communication and or connectivity, the Local Agency must:
 - a. Advise the Department.
 - b. Determine if clients will be rescheduled or if paper data collection and documentation processes will be initiated.
- B. When services are disrupted for more than a day by disasters or security failures, essential operations will continue.
- C. In the event of a major disruption such as a natural disaster or public health emergency, the Department will issue alternative guidance for program operations.

1.9.6 INCIDENT REPORTING

All actual or suspected instances of information asset misuse, theft, or abuse, as well as potential threats (e.g., hackers, computer viruses) or obvious weaknesses affecting security, must be reported to your immediate supervisor.

- A. All serious infractions including, but not limited to, pornography or violence, must be immediately reported to the appropriate supervisor.
- B. Any actual or suspected security breach, including any lost or broken Cornerstone equipment, must be immediately reported to the appropriate supervisor.
- C. Local Agency security coordinators are responsible for reporting such incidents. Within 24 hours of the report of the incident, the security coordinator is to submit a brief report of the incident that includes the type of breach, the individual responsible for the breach, and that individual's Cornerstone identification number. The report is to be addressed to the BMCH Bureau Chief at the Department of Human Services.

1.9.7 SECURITY AWARENESS, TRAINING, AND EDUCATION

MCH employees who manage, operate, program, maintain, or use Cornerstone should be aware of their security responsibilities.

- A. Security training must be provided before system users are allowed access to the system.
- B. Periodic refresher (e.g., annual) security training is required for continued access to the system.
- C. Security training is designed to help system users become familiar with using Cornerstone's security features. Security training also ensures that users understand their responsibilities and

security procedures for protecting any sensitive information they manage. Security training includes:

- a. The importance of protecting client privacy and data confidentiality
 - b. How to identify a security incident
 - c. Secure use of user IDs and passwords
- D. Security training will be available through Cornerstone and authorized user access is dependent on successful completion of the course.

1.9.8 CORNERSTONE ANNUAL ACCESS REPORT RECONCILIATION

To comply with state policies local agencies are expected to monitor the IDHS HSPR1118 Cornerstone Active Employee report annually to ensure only those staff currently working for the agency have Cornerstone access and are assigned to only those programs in which they currently work.

Bureau of Maternal and Child Health Program staff will send each Local Agency the HSPR1118 report annually (N.B. Agencies providing multiple services will receive the report more than once and will need to respond to each program as requested).

Local agencies are responsible for:

1. Ensuring only active staff currently working for the agency are on the report. This includes those with no Citrix access
2. Terminating any staff appearing on the report that are not current employees
3. Correcting program access for staff who have changed positions (i.e., left WIC but now work in Case Management)

The following steps should be taken once agencies have received the HSPR1118 report from the Department.

1. Does the staff person work for the agency?

Answer:	Action Step:
Yes	Move on to step 2.
No	<ul style="list-style-type: none"> a) In the Cornerstone AD15 Employee Information Screen, terminate any staff appearing on the report that are not current employees. b) Document by writing on the HSPR1118 report any terminations that were made.

2. Is the staff person assigned to the correct program(s)?

Answer:	Action Step:

Yes	Move on to step 3
No	<ul style="list-style-type: none"> a) In the Cornerstone AD15 Employee Information Screen, terminate staff from programs they no longer work in and/or add new programs they should be assigned to. b) Document by writing on the HSPR1118 report any changes that were made.

3) Sign and Date the HSPR1118 Report & return by email to DHS.BMCHEDF@illinois.gov.

2 CASE MANAGEMENT COORDINATION

2.1 CASE MANAGEMENT COORDINATION

2.1.1 CASE MANAGEMENT COORDINATION

Department grantees providing case management services should engage in activities (as described below) to coordinate with other agencies in the grantee's service area that provide case management services to the same types of persons as the grantee has agreed to serve. These activities are intended to avoid duplication of case management services at the local level and ensure that each client has only one lead case manager at any given time.

- A. The case management agency should ensure that every family enrolled in case management continues to utilize primary medical care, regardless of the primary case management agency working with the family.
- B. Case Management Coordination Agreements. Grantees of the Department's Division of Family Services should enter into written agreements with other agencies with the same geographic service area (in whole or in part) and with comparable scope of case management activities regarding coordination of case management services. These agreements must at least specify each grantee's target group for services, referral procedures, procedures to obtain informed consent for services and protection of client's privacy, and procedures to determine the agency most appropriate to provide case management services.
- C. Determination of the agency or program most appropriate for the delivery of case management services. Following the assessments of a client's service needs, the case manager, other involved service Agencies, and the client (and the client's parent(s) or legal guardian(s), depending upon the client's ability to consent for services) should determine the one agency or program most appropriate to take a lead role in providing case management services if any of the criteria listed below are met. Only those Agencies for which the client has given written consent may participate in the determination of the most appropriate agency or program to provide case management. The criteria requiring such a determination are:
 - a. the participant's most important problem requires expertise for case management

- that the grantee's staff does not possess
 - b. the participant's most important problem requires expertise for case management that another agency's staff does possess
 - c. the participant's problems are so complex as to require the close collaboration of several agencies for successful case management
 - d. the participant prefers to obtain case management services from another agency
- D. Family Case Management Agencies in Chicago / Cook County (Region 1) must comply with the Chicago / Cook County FCM Client Transfer Policy and Procedures.

2.1.2 CLIENT TRANSFER POLICY

Clients may only be enrolled in services at one agency at a time. Based on this, it is essential that all agencies cooperate in adhering to the following client transfer policy to ensure that there is a strong continuity of care for clients, and each client is receiving the most appropriate service based on their individual needs. Every agency is expected to follow the policy as it is written unless prior approval has been given and documented by the MCH Nurse Consultant.

- A) Clients should be active in the most appropriate program based on their current needs.
 - a) If an FCM infant is deemed high risk based on HRIF eligibility criteria, the client must be transferred to the HRIF Program.
- B) Prior to activating any client at an agency, it is imperative that a statewide lookup must be completed in Cornerstone. In areas where there may be multiple agencies providing similar services, a lookup must be completed for the parent as well as the infant in cases where an infant has been referred to an agency. If a parent is active at a different agency, the infant should be referred to the original agency where the parent has been receiving services to ensure continuity of care.
- C) Anyone who appears on the HSPR0724 – case finding list should go through the statewide search process in Cornerstone and if that client, or the client's parent / guardian, or sibling is currently receiving services (and active) at another agency, the agency who received notification in the case finding list report, should not reach out to that family, since they will most likely continue to receive services at the agency in which they are already active.
- D) Requests for transfer of clients with an Active program status should only be made for one of the following reasons and the client must agree to the transfer prior to it being completed:
 - a) the client's most important problem requires expertise for case management that the grantee's staff does not possess
 - b) the client's most important problem requires expertise for case management that another agency's staff does possess
 - c) the client has moved and is now located closer to a different agency; or
 - d) the client prefers to obtain case management services from another agency.
 - i. If a parent requests to transfer themselves and/or their infant to another agency that provides the same program that the parent and/or infant are currently enrolled in, the agency should have a conversation with the client emphasizing

- the importance of continuity of care. If the client still chooses to change agencies, it should be documented in the Case Notes (CM04) of Cornerstone what the reasoning is for the transfer.
- ii. If a parent requests to transfer themselves and/or their infant to another agency that does not have the same program that the parent and/or their infant are currently enrolled, the agency should have a conversation with the client regarding the program that best meets the needs for them and their infant. If the client still chooses to change agencies, it should be documented in the Case Notes (CM04) of Cornerstone what the reasoning is for the transfer.

If a transfer of an active client is deemed necessary, based on the reasons given above, the agency receiving the client must communicate directly with the agency who is going to be losing the client to inform them of the transfer and request that the record be released in Cornerstone. This communication is to be documented in the Case Notes (CM04) of the client record for review later.

Agencies initiating a transfer of a client who is currently active at another agency must complete a Transfer Request Form ([Addendum 2.1.2 Client Transfer Request Form](#)) which will be maintained in the client record at both the agency the client transferred from and the agency the client transferred to. These forms must be signed and shared with the program coordinators at both agencies effected by the transfer. These forms may not replace the documentation within the client record in Cornerstone. Upon receipt of the Client Transfer Request Form, the agency receiving the transfer client will provide the services in alignment with the required assessments for the specific program.

3 FAMILY CASE MANAGEMENT PROGRAM

Family Case Management (FCM) is a statewide program that provides comprehensive service coordination to improve the health, social, educational, and developmental needs of pregnant & postpartum individuals and infants (0 – 12 months) from low-income families in the communities of Illinois (410 ILCS 212/15). Family Case Management (FCM) aims to “assess current needs within the State and provide goals and objectives for improving the health of mothers and children and for reducing infant mortality.” (77 Ill. Adm Code 630.20 (a)(1)).

3.1 STAFFING QUALIFICATIONS

All case managers must be enrolled in the Family Case Management training provided by the Springfield Urban League within 3 months of working in Family Case Management and can be required to attend the training again at any time during their work with MCH Programs as required by the MCH Nurse Consultant or Agency MCH Coordinator.

3.1.1 CASE MANAGER

The case manager must meet one of the following qualifications:

- A. A registered professional nurse licensed pursuant to Section 12 of the Nurse Practice Act [225 ILCS 65] and
 - a. two years' experience in community health or maternal and child health nursing, or
 - b. a Bachelor of Science in Nursing (B.S.N.) degree from a recognized or accredited program and one year of experience in community health or maternal and child health nursing, or
 - c. supervision by a registered professional nurse, licensed social worker, or licensed clinical social worker with the length of experience described herein, until the case manager obtains the length of experience required in subsection A(a) or A(b) of this Section.
- B. A clinical social worker licensed pursuant to Section 9 or social worker licensed pursuant to Section 9A of the Clinical Social Work and Social Work Practice Act [225 ILCS 20] and 68 Ill. Adm. Code 1470 and:
 - a. one year of experience in providing direct services to families with young children in a professional setting, or
 - b. supervision by a registered professional nurse, licensed social worker, or licensed clinical social worker with the length of experience described herein until the case manager obtains the length of experience required in subsection A(a) of this Section.
- C. Possess a master's degree or baccalaureate degree in a behavioral science, social science, or health-related area; or a baccalaureate degree in any other area and one year of experience in providing direct professional child, family, or community services; or an associate degree and two years' experience in providing direct professional child, family, or community services. Case managers meeting only this qualification must be supervised by an appropriate case manager meeting the requirements of subsection A or B of this Section until they have a total of two years of supervised case management experience.

3.1.2 PROGRAM COORDINATOR

The MCH Coordinator is responsible for the overall administration of the program to assure compliance with all State policies and Federal regulations. Responsibilities may include:

- A. Supervision, evaluation, and direction of MCH staff by ensuring that staff at all levels are competent to complete job specific duties when providing MCH program services.
 - a. Determine staff training needs and coordinate education opportunities.
- B. Serve as the Local Agency liaison to State MCH Staff by:
 - a. Providing communication regarding Local Agency questions, concerns, and any agency-specific activities impacting the MCH Program
 - b. Participating in State and Regional MCH conference calls and meetings
 - c. Communicating to staff MCH Program updates and reinforcement of program requirements

- C. Conduct Quality Assurance activities and monitor the following areas and identify improvement needs.
 - a. Daily Clinic Operations
 - b. MCH Reports
 - c. Perinatal Education
 - d. Agency Policy & Procedure
- D. Attend professional conferences, seminars, workshops to update staff on current MCH practices and other information relevant to MCH.
- E. Identify and collaborate with local Agencies and other community partners.
- F. Manage assigned caseload per IDHS Grant Agreement.
- G. Maintain oversight controls and records
- H. Ensure employee compliance and program integrity. Coordinate with the agency Security Coordinator to ensure continuity of operations. (See 1.9.1, 1.9.2, 1.9.6, 1.9.7).

3.1.3 CASE MANAGER ASSISTANTS & FRONTLINE/CLERICAL STAFF

Paraprofessionals and lay workers may be used to perform some case management functions under the supervision of the case manager. These functions may include:

- A. Intake, follow-up with clients or Agencies to ensure that participants are accessing needed services
- B. Provision of support and assistance that clients may require to access services
- C. Conducting outreach activities
- D. Maintaining client files and clinic schedule
- E. Scheduling of appointments and follow-up on missed / upcoming appointments
- F. Managing client correspondence

3.2 ELIGIBILITY

Eligibility for FCM services is outlined in the Illinois Family Case Management Act (410 ILCS 212/1) and is defined as follows: any pregnant individual or child through the age of one year enrolled in the Medicaid program on the effective date of this Act or whose income is up to 200% of the federal poverty level.

Pregnant and postpartum individuals are eligible for services in Family Case Management throughout their pregnancy and up to 9 months after delivery date.

Infants are eligible for services in Family Case Management throughout the first year of life.

3.3 CONTENT

3.3.1 FREQUENCY *(revised October 2022)*

The case management agency must have face-to-face contact with the client as specified below and have as much additional contact as necessary to facilitate the family's access to services. Each contact must include the activities described for the client type. Whenever possible, the face-to-face contact should be made by the assigned case manager.

- For infants, face-to-face contact at birth through the end of 1 month, 2 through the end of 5 months, 6 through the end of 9 months, and 10 through the end of 12 months. The category for infant is I.
- For pregnant individuals, face-to-face contact once each trimester of pregnancy. The category for pregnant is P.
- For postpartum individuals, face to face contact during the first 42 postpartum days and in month 6-9 after delivery. An individual can be enrolled in the FCM program at any time up to 9 months after the date of delivery. The category is D for Individual Delivered.

Case management activities shall be conducted in the client's home as presented below.

- At least once prenatally.
- At least once during infancy from birth through the end of 4 months of the infant's life.

3.3.2 PROCESS - PREGNANT & POSTPARTUM INDIVIDUALS AND INFANTS *(revised October 2022)*

Outlined below are the guidelines for the full case management process. Agencies with a Family Case Management contract are expected to perform the following processes at a minimum to comply with the performance requirements of the grant.

The agency is expected to provide case management services to a caseload of pregnant & postpartum individuals and infants that is representative of the community served per the contract exhibits.

Agencies are expected to do the following:

- A. Provide culturally responsive case management services that impact racial disparities in outcomes to 85% of assigned caseload of pregnant, postpartum, and infants.
- B. Conduct case finding from a weekly list of newly enrolled Medicaid clients by contacting and encouraging clients not currently active in case management to participate and enroll in the FCM program.
- C. Clients will be assigned to a case manager continuously within 30 days of enrollment and must be reassigned if staffing changes occur. Measured through Cornerstone on PA02 (Participant Profile), through Chart Review.
- D. Collaborate and link clients to other culturally responsive service providers in the community including Primary Care Provider (PCP) as documented on PA03 (Participant Enrollment) in the Cornerstone and measured through Chart Review; and Medicaid managed entities for service

- development to maximize care coordination.
- E. Support the health and well-being of individuals and infants through a Department approved plan for community control of the COVID 19 pandemic by prevention education, contact tracing, and vaccine distribution activities.
 - F. All Infants must be grouped with the parent or guardian (if parent is not the guardian) as documented on PA06 (Participant Group Relationships) in Cornerstone and measured through Chart Review.
 - G. The agency will complete comprehensive needs assessments and develop individualized care plans in person with the client within forty-five (45) calendar days of initial successful client contact.
 - a. The agency will complete the following Cornerstone Assessments:
 - i. 701 – Other Service Barriers,
 - ii. 711 – Prenatal Risk or 712 – Infant Risk as appropriate
 - b. Clients are to be referred to the available program most appropriate to their risk level (HRIF or BBO).
 - i. If an agency does not offer the program for which the client is most eligible, but another agency in the geographic vicinity does, it is expected that the client be referred to the most appropriate program for the client’s needs.

3.3.3 PREGNANT INDIVIDUALS *(revised October 2022)*

It is expected that agencies will provide a minimum of the following services as measured through Cornerstone chart review and performance reports to all Pregnant Individuals enrolled in Family Case Management.

- A. The following information is to be obtained and documented in Cornerstone as appropriate:
 - a. Completion of the PA07 (Initial Prenatal Data) screen in Cornerstone with provision of the following:
 - i. Estimated Date of Confinement (EDC)
 - ii. Month when Prenatal Care Began
 - iii. Number of Prenatal Medical visits prior to enrollment
 - b. Completion of the PA10 (Postpartum Data) screen in Cornerstone with provision of the following at the Postpartum visit:
 - i. Date of Delivery
 - ii. Number of Prenatal Medical visits completed
- B. Ensure that the following assessments and education are provided, and appropriate educational materials are distributed to pregnant and postpartum individuals to supplement the education topics discussed.
 - a. Home Visit
 - i. Complete the assessment AS01:706 – Home Assessment at the Home Visit.
 - b. Assure that all enrolled pregnant individuals are educated on and screened for perinatal mood disorders and referred to services as appropriate.
 - i. Screenings shall use a Medicaid-approved perinatal depression screening tool as indicated on the Department of Healthcare and Family Services website.

The screening is to be completed during a face-to-face visit with the case manager and entered as a service entry (SV01: 825 – Depression Screening). This does not have to be repeated if there is documentation on the Service Entry Screen (SV01:825) that one was completed and confirmed by communication with the Primary Care or Obstetrical Care Provider along with a Case Note (CM04) detailing that verification has been obtained with the Provider.

- ii. Licensed health care workers providing Family Case Management, prenatal care, to individuals shall screen pregnant individuals for perinatal mood disorder symptoms at a prenatal check-up visit on or after 20-weeks gestation or provide documentation that screening was completed and confirmed by communication with the Primary Care or Obstetrical Care Provider.
 - iii. FCM licensed health care workers providing prenatal and postnatal care to an individual shall include fathers and other family members, as appropriate, in both the education and treatment processes to help them better understand the nature and causes of postpartum mood disorders. This is to be documented through Cornerstone Case Notes and will be reviewed in chart audits.
 - iv. In accordance with the Perinatal Mental Health Disorders Prevention and Treatment Act (PMD), all reproductive-age individuals will receive information on postpartum mood disorders, including the Department's [Postpartum Depression brochure](#) and contact information for the Perinatal Depression Hotline.
- C. Evidence of medical care coordination in accordance with the HFS vs. Memisovski Consent Decree from 1992 shall be expected to include the following:
- a. Adequacy of prenatal care as measured by the Kotelchuck Index
 - b. Linkage with a Primary Care Provider
 - c. All referrals (specialty care, mental health, housing, etc.) as documented on the Cornerstone system Service Provider Selection (RF01). Minimal documentation will include the reason for referral and documentation if follow-up has occurred.
 - i. Clients are to be given a copy of the referral.
- D. Pregnant individuals enrolled in the program are to receive at minimum the following services:
- a. Adequate prenatal care visits throughout pregnancy as measured by daily entry of client data into Cornerstone Data Entry Screens: PA07 (Initial Prenatal); PA10 (Postpartum); PA15 (Program Information); SV01:802 – Prenatal Care (Service Entry).
 - b. Education about Reproductive Well Being with a hard copy in the client record as measured by timely entry of client data into Cornerstone Data Entry Screens: SV01:941 – Prenatal Reproductive Life Plan (Service Entry).
 - c. At least one (1) Depression Screening completed on or greater than 20 weeks of gestation with a hard copy in the client record or documentation of PCP acknowledgement of completion as measured by timely entry of client data into Cornerstone Data Entry Screens: SV01:825 (Service Entry) with SV01:940 - Postpartum Depression Brochure (Service Entry) in accordance with the Perinatal Mental Health Disorders Prevention and Treatment Act (PMD).

- d. A minimum of one (1) prenatal face-to-face contact per trimester active in FCM as measured by timely entry of client data into Cornerstone Data Entry Screens: SV02 (Activity Entry). The home visit completed in any trimester is considered as a face-to-face in the indicated trimester.
- e. Prenatal Health Education provided at each face-to-face as measured by timely entry of data into Cornerstone Data Entry Screens: SV02 (Activity Entry) and CM04 (Case Note).
- E. Collaborate and link clients to other service Agencies in the community including primary care physicians and Medicaid managed care entities for service development and integration to maximize care coordination.

3.3.4 POSTPARTUM INDIVIDUALS *(revised October 2022)*

It is expected that agencies will provide a minimum of the following services as measured through Cornerstone chart review and performance reports to all Postpartum Individuals enrolled in Family Case Management.

- A. The following information is to be obtained and documented in Cornerstone as appropriate:
 - a. Completion of the PA07 (Initial Prenatal Data) screen in Cornerstone with provision of the following:
 - i. Estimated Date of Confinement (EDC)
 - ii. Month when Prenatal Care Began (i.e., month of pregnancy and not the calendar year)
 - iii. Number of Prenatal Medical visits prior to enrollment

*The completion of PA07 is a history collection of data for clients who were not enrolled in the FCM program during pregnancy.
 - b. Completion of the PA10 (Postpartum Data) screen in Cornerstone with provision of the following at the Postpartum visit:
 - i. Date of Delivery
 - ii. Number of Prenatal Medical visits completed
- B. Postpartum Individuals enrolled in the program are to receive at minimum the following services within 42 calendar days of delivery to include:
 - a. Postpartum Medical Follow-up Visit completed as measured by timely entry of client data into Cornerstone Data Entry Screens: SV01:820 – Postpartum Medical Follow-Up (Service Entry), with a hard copy of the Post-Birth Warning Signs given to client and blood pressure measurement recorded by the case manager. If the case manager is unable to obtain a blood pressure a documentation from PCP, or a client verification of the reading should be obtained
 - b. At least one (1) Depression Screening completed with a hard copy in the client record or documentation of PCP acknowledgement as measured by timely entry of client data into Cornerstone Data Entry Screens: SV01:825 – Depression Screening (Service Entry) with SV01:940 – Postpartum Depression Brochure (Service Entry) as evidence of providing the gestational parent the brochure and focusing on resources identified in the brochure.

- c. Reproductive Well Being education with a hard copy in the client record as measured by timely entry of client data into Cornerstone Data Entry Screens: SV01:942 – Postpartum Reproductive Life Plan (Service Entry).
 - d. Collaborate and link clients to other service Agencies in the community including primary care physicians and Medicaid managed care entities for service development and integration to maximize care coordination.
- C. Postpartum individuals enrolled in the program are to receive at least one (1) Postpartum Health Education completed at 6-9 postpartum months with documentation of identified risk and/or complications specific to Postpartum Individual under the service entry and/or case note (CM04) as measured by a timely entry of client data into Cornerstone Data Entry Screens: SV01: PPED – Postpartum Education (Service Entry) and SV02 (Activity Entry). If a serious medical or social risk arises after the 42 days postpartum, an additional PPED is recommended to be completed prior to 6 months postpartum to address and treat the identified risk and/or complication of the postpartum individual.
- D. Postpartum individuals enrolled in the program who experienced loss must be offered perinatal bereavement services from trained staff and/or be connected to trained professionals and/or support groups as measured by timely entry of client data into Cornerstone Data Entry Screens PA10 (Postpartum Data – Outcome), SV02 (Activity Entry), RF01 (Service Provider Selection and CM04 (Case Note).
- E. The services for the postpartum individual should be completed face to face.

3.3.5 INFANTS *(revised October 2022)*

It is expected that agencies will provide a minimum of the following services as measured through Cornerstone chart review and performance reports to all Infants enrolled in Family Case Management.

- A. The following information is to be obtained and documented in Cornerstone as appropriate:
 - a. Completion of the PA11 (Birth Data) screen in Cornerstone with provision of the following at the first Infant visit:
 - i. Birth weight of the baby:
 - with written confirmation (e.g., birth certificate, crib sheet, etc.)
 - with verification from the PCP
 - a verbal confirmation, if unable to obtain weight information
- B. Infants enrolled in the program are to receive, at minimum, the following services:
 - a. Face-to-Face Visits with age-based assessments completed at birth through the end of 1 month, 2 through the end of 5 months, 6 through the end of 9 months, and 10 through the end of 12 months as measured by timely entry of client data into Cornerstone Data Entry Screens: SV02 (Activity Entry) and completed AS01: 708A- F (Assessments).
 - b. A minimum of one of each assessment completed as measured by timely entry of client data into Cornerstone Data Entry Screens: AS01:712 – Infant Risk Assessment and AS01:701 – Other Service Barriers (Assessment) within 45 calendar days of activation in the program.

- c. At least one home visit from birth through the end of 4 months as measured by AS01:706 Home Assessment (Assessment), SV01: SSED - Safe Sleep Education (Service Entry) and SV02 (Activity Entry).
 - d. Completion of Immunization Education based on current CDC Guidelines as documented in Cornerstone Data Entry Screen: SV01: IMED – Immunization Education (Service Entry) at each Face-to-Face contact.
 - e. Developmental Screening completed per schedule as measured by timely entry of client data into Cornerstone Data Entry Screens: SV01:824 – Developmental Screening (Service Entry). Evidence of an objective developmental screening approved by the Illinois Department of Healthcare and Family Services (HFS) Medicaid completed through agency administration or documentation completed by another service provider, including date of screening completion recommended within 6–12 months age range.
 - f. A minimum of one (1) required age-based well child visit completed at birth through the end of 1 month, 2 through the end of 5 months, 6 through the end of 9 months, and 10 through the end of 12 months as measured by timely entry of client data into Cornerstone Data Entry Screens: PA03 (Participant Enrollment) and SV01:806 – Well Child/EPSTDT Visit (Service Entry). A minimum of three (3) well child visits is required within the first year of life.
- C. Educational materials discussed and given for infant as measured by timely entry of data into Cornerstone Service Entry Screens CM04 (Case Notes) with topics related to assessment or client needs. Collaborate and link clients to other service Agencies in the community including primary care physicians and Medicaid managed care entities for service development and integration to maximize care coordination.
- D. Evidence of medical care coordination in accordance with the HFS vs. Memisovski Consent Decree from 1992 shall be expected to include the following:
- a. Education on the importance of childhood immunizations
 - b. EPSTDT participation at age one year
 - c. Linkage with a Primary Care Provider
 - d. All referrals (Early Intervention (EI), specialty care, mental health, housing, etc.) as documented on the Cornerstone system Service Provider Selection (RF01). Minimal documentation will include the reason for referral, and documentation status or follow-up has occurred.
 - i. Clients are to be given a copy of the referral.

3.3.6 REFERRAL AND ADVOCACY *(revised October 2022)*

The case manager shall assure that any necessary referrals are made and advocate as necessary on the client’s behalf for services identified in the individual care plan. The case manager will ensure that all infants in need of Early Intervention (EI) services based on the Developmental Screening will be referred to the necessary services, and documentation will be made in the Cornerstone System on the Referral Screen RF01 (Service Provider Selection) with the reason for the referral and documentation that follow-up has occurred.

Minimal documentation requirements for all referrals on the RF01 screen in Cornerstone will include the reason for referral and documentation that follow-up has occurred.

Clients are to be given a hard copy of the referral.

3.3.7 FOLLOW-UP AND REASSESSMENT

Subsequent case management activities shall include, as necessary, a review of the implementation of the individualized care plan to date. The case manager should update the individual care plan using any additional information received from the physician or other service Agencies. These updates should occur at a quarterly minimum.

3.3.8 CORNERSTONE WORKFLOW SHEETS *(revised October 2022)*

Pregnant Individual Cornerstone Workflow – Addendum 03.03.10 Pregnant

Postpartum Individual Cornerstone Workflow – Addendum 03.03.10 Postpartum

Infant Cornerstone Workflow – Addendum 03.03.10 Infant

3.4 CASE CLOSURE

Case closure should occur when:

- A. The client no longer meets age or income eligibility criteria for case management funding
- B. The client moves out of the grantee's service area
- C. The client dies
- D. The case management agency is no longer able to reach the client

At the time of closure, the case manager should ensure that the following activities have been completed, as appropriate for the client's circumstances:

- A. The client has located a medical care provider for continued care for themselves and their children
- B. The client is referred for family planning services
- C. The client is referred for postpartum WIC or Commodity Supplemental Food Program (CSFP) certification
- D. The client's children are referred for WIC
- E. The children have begun or been referred for immunizations (if these are not contraindicated or declined by the parent)
- F. The client has completed application for Medicaid for their children; and
- G. The client has been given information regarding child restraint seats

If the client is moving to another area, the client's case records may be transferred to the new case management agency if the client's consent is obtained.

4 HIGH RISK INFANT FOLLOW-UP PROGRAM

The High Risk Infant Follow Up Program (HRIF) is a statewide program for infants and children (ages 0-2 years old) who are referred via the Illinois Department of Public Health (IDPH) Adverse Pregnancy Outcomes Reporting System (APORS) or based on assessments done in the FCM program which determines: that the infant has been diagnosed with a serious medical condition after newborn discharge, when maternal alcohol or drug addiction has been diagnosed, or when child abuse or neglect has been indicated based on investigation by the Illinois Department of Children and Family Services (See 410 ILCS 525/2 and 77 Ill. Adm. Code 840.210). The primary goals of HRIF are to:

- Minimize disability in high-risk infants by early identification of possible conditions requiring further evaluation, diagnosis, and treatment
- Promote optimal growth and development of infants
- Teach family care of the high-risk infant
- Decrease stress and potential for abuse in the family setting with high-risk infant

4.1 STAFFING QUALIFICATIONS

4.1.1 CASE MANAGER

The case manager must meet one of the following qualifications:

- 1) A registered professional nurse licensed pursuant to Section 12 of the Nurse Practice Act [225 ILCS 65] and:
 - a. two years' experience in community health or maternal and child health nursing, or
 - b. a Bachelor of Science in Nursing (B.S.N.) degree from a recognized or accredited program and one year of experience in community health or maternal and child health nursing, or
 - c. supervision by a registered professional nurse, licensed social worker, or licensed clinical social worker with the length of experience described herein, until the case manager obtains the length of experience required in subsection 1(a) or 1(b) of this Section.

4.1.2 PROGRAM COORDINATOR

The MCH Coordinator is responsible for the overall administration of the program to assure compliance with all State policies and Federal regulations. Responsibilities may include:

1. Supervision, evaluation, and direction of MCH staff by ensuring that staff at all levels are competent to complete job specific duties when providing MCH program services.

2. Serve as the Local Agency liaison to State MCH Staff by:
 - a. Providing communication regarding Local Agency questions, concerns, and any agency specific activities impacting the MCH Program.
 - b. Participating in State and Regional MCH conference calls and meetings
 - c. Communicating to staff MCH Program updates and reinforcement of program requirements.
3. Determine staff training needs and coordinate education opportunities.
4. Conduct Quality Assurance activities and monitor the following areas and identify improvement needs:
 - a. Daily Clinic Operations
 - b. MCH Reports
 - c. Infant & Child Education
 - d. Agency Policy & Procedure
5. Attend professional conferences, seminars, and workshops to update staff on current MCH practices and other information relevant to MCH.
6. Identify and collaborate with local Agencies and other community partners.
7. Manage assigned caseload per IDHS Grant Agreement.
8. Maintain oversight controls and records
9. Ensure employee compliance and program integrity.
10. Coordinate with the agency Security Coordinator to ensure continuity of operations. (See 1.9.1, 1.9.2, 1.9.6, 1.9.7)

4.1.3 CASE MANAGER ASSISTANTS & FRONTLINE/CLERICAL STAFF

Paraprofessionals and lay workers may be used to perform some case management functions under the supervision of the case manager. These functions may include:

1. Intake, follow-up with clients or Agencies to ensure that clients are accessing needed services
2. Provision of support and assistance that clients may require to access services
3. Conducting outreach activities
4. Maintaining client files and clinic schedule
5. Scheduling of appointments and follow-up on missed/upcoming appointments
6. Managing client correspondence

4.2 ELIGIBILITY

HRIF may be provided when the client is determined to be at high risk for medical complications by the primary care provider or by risk assessment. High-risk case management of infants and children may be provided by the case management agency when:

- The infant or child has been identified through the Adverse Pregnancy Outcome Reporting System (APORS) (See 410 ILCS 525/3) and 77 Ill. Adm. Code 840.210)

- When the infant has been diagnosed with a serious medical condition after newborn discharge
- When the individual who gave birth, a parent, or guardian has been diagnosed with alcohol or drug addiction
- When the parent or guardian has been diagnosed with mental health disorder
- When child abuse or neglect has been indicated based on investigation by the Illinois Department of Children and Family Services
- When an infant or child is DCFS custody or foster care

HRIF infants or children will be followed until 24 months of age unless:

1. The client no longer has medical issues that require the intensive case management provided by the HRIF program as defined by:
 - a. A complete assessment and the professional judgment of the nurse case manager at the first visit or any subsequent visits indicate that services are no longer needed.
 - b. The clients whose conditions are minor and whose environment are stable, may be transferred into Family Case Management. Age of infant at time of potential transfer should be considered when making this decision.
2. The client chooses to no longer participate in the HRIF program.

4.2.1 APORS DESIGNATION PROCESS

Adverse Pregnancy Outcome Reporting System (APORS) staff at Illinois Department of Public Health (IDPH) collect case information from hospitals and other sources, such as the Newborn Metabolic Screening Program and the Newborn Hearing and Screening Program. IDPH APORS staff will proceed as follows once data has been collected:

- a) Review the information provided by the hospitals and other sources, checking for inconsistencies and missing information. IDPH APORS refers any identified problems to the reporting hospital for resolution.
- b) Review and code the list of diagnoses provided by hospitals and other sources. If the codes do not meet the APORS case criteria/definition (Examples: an infant born less than 31-weeks gestation, a parent who delivered the infant tested positive for Hepatitis B, an infant with a genetic disorder, etc.) per the IDPH APORS Case Definition Chart (available from IDPH or MCH RN) then the case does not meet eligibility criteria for APORS.
- c) Enter the case into the APORS database if the report was received by paper.
- d) The IDPH APORS Review field in the software system is completed with a "Y" if there are no problems with the case, and the baby has not gone to an equal or higher-level reporting facility.
- e) Once these steps are completed, the record is made available electronically to the local health department or community agency staff through the IDPH APORS referral portal.

If further assistance is needed with APORS Referrals, please contact the APORS IDPH Manager.

4.2.2 PROCEDURE TO CHANGE HRIF DESIGNATION TO APORS

For an infant without a receipt of an APORS referral, contact the APORS Program by email at dph.apors@illinois.gov to request the APORS report. Before requesting such a report, the nurse should review the IDPH APORS Case Definition Chart (Addendum) to verify that the child meets the APORS case definition. Do not add “Y” (yes) APORS on Cornerstone PA11 (Birth Data) screen until an APORS report is received. If an infant has a high-risk condition that is not reportable to APORS, the infant may be provided HRIF services. Do NOT add “Y” (yes) to the APORS question on Cornerstone PA11 Birth Screen; it remains “N” (No).

4.3 CONTENT

4.3.1 FREQUENCY *(revised October 2022)*

All APORS referred clients must receive their first contact from the agency within seven (7) business days of referral.

A minimum of 6 face-to-face visits shall be made by the nurse case manager at the following intervals for all clients:

1. within fourteen (14) business days of newborn hospital discharge (birth through the end of 1 month),
2. a 4-month visit (between chronological 2 months through the end of 5 months),
3. a 6-month visit (between chronological 6 months through the end of 9 months),
4. a 12-month visit (between chronological 10 months through the end of 15 months),
5. an 18-month visit (between chronological 16 months through the end of 21 months),
6. a 24-month visit (between chronological 22 months through the end of 24 months).

Infants and their families having actual or potential health problems identified by the nurse shall be visited more frequently for health monitoring, teaching, counseling, and/or referral for appropriate services. Occasionally, when an infant is receiving services at the Local Health Department, a follow-up visit may be conducted by the nurse at that time.

Case management activities shall be conducted in the client’s home as presented below:

- At least once during infancy from birth through the end of 4 months of the infant’s life
- For complex APORS conditions, three to four home visits may be needed. If the APORS condition is non-complex and the family is mobile, additional home visits will be based upon the professional judgement of the nurse case manager. The nurse should document evidence of contact and location on the SV02 (Activity Entry) screen in Cornerstone for each contact.

4.3.2 PROCESS *(revised October 2022)*

Outlined below are the guidelines for the high-risk follow-up case management process. Agencies with a High-Risk Infant Follow-up contract are expected to perform the following processes to comply with the performance requirements of the grant.

The following information is to be obtained and documented in Cornerstone as appropriate:

- a. Completion of the PA11 (Birth Data) screen in Cornerstone with provision of the following:
 - i. Birthweight of the baby on PA11 (Birth Data) screen in Cornerstone:
 - i. With written confirmation (e.g., birth certificate, crib sheet, etc.)
 - ii. With verbal confirmation from the parent or guardian, and/or a verification from the PCP
 - ii. APORS box should be “Y” after receiving the APORS report
- b. Completion of the PA15 (Program Information) screen in Cornerstone as applicable at the initial infant visit:
 - i. APOR for APORS with IDR
 - ii. HRIF for High-Risk Infant Follow-up without IDR
 - iii. Family Case Management program for Infant/Child

The physical assessment is to be completed by a registered nurse. The physical assessment will be documented in Cornerstone: AS01:708 questions 27-52 – Pediatric Primary Care Assessment. Each physical assessment should be documented by the nurse at each face-to-face visit under the Cornerstone Data Screen SV02 (Activity Entry). A Maternal Child Health (MCH) Nurse Consultant will review the documentation of physical assessments during program review.

The RN Case Manager is required to complete the additional assessments within the following timeline:

- i. 45 calendar days of program enrollment
 - General Assessment (AS01:700), Q43-51
 - Other Barriers (AS01:701),
- ii. Birth through the end of 4 months
 - Home Assessment (AS01:706).

The Infant Risk Assessment (AS01:712) should not be completed on known HRIF or APORS referred clients.

The Case Note (CM04) documentation is required after providing a pediatric health education.

Developmental Assessments are to be completed by a registered nurse who has training in administering any of the developmental screening tool approved by Department of Healthcare and

Family Services (HFS). A developmental assessment will be completed during face-to-face visit schedule starting from 6 to 24 month visit frequency and a hard copy of each scheduled screening tool used will be placed in the client's file/record.

The purpose of the [Primary Care Physician \(PCP\) Notification Form](#) is to inform the PCP of any abnormal/unusual or questionable findings resulting from the assessment of the infant by the public health nurse. It is not required that this form be sent to the primary physician after each assessment. The use of the PCP Notification Form is based on the professional judgment of the Case Manager. All pertinent information should be shared between the local public health nurse and primary care physician. However, the primary physician should be notified that the infant/child is active in HRIF programservices.

Services to be provided include, but are not limited to:

- Provide services with a focus on a racial equity and the reduction of racial/ethnic disparities to 90% of assigned caseload of children.
- Ensure that all clients have an assigned Primary Care Provider, and this provider is known to the client.
- Complete needs assessment and develop an individualized care plan
- Update the Individualized Care Plan at least quarterly based on assessments and current client needs.
- Deliver all age-based assessments, screenings, and services to high-risk infants in accordance with the provisions of the current Department's Program Policy Manual.
- Collaborate with other service Agencies in the community including primary care physicians and Medicaid managed care entities for service development and integration and to maximize care coordination.
- Ensure enrolled infants receive developmental screening per schedule utilizing a standardized screening tool.
- Ensure children in DCFS investigations and/or custody are eligible for HRIF program to receive services.
- Ensure that all children receive a Well Child /EPSDT Exams at each face to face completed at birth to the end of 1 month, 2 months through the end of 5 months, 6 months through the end of 9 months, 10 months through the end of 15 months, 16 months through the end of 21 months, and 22 months through the end of 24 months and documented in Cornerstone Data Entry Screen: SV01:806 – Well Child/EPSDT (Service Entry).
- Initial Face-to-Face contact with infants (0-12 months) is to be made within fourteen (14) business days of APORS referral as measured through chart review of the printed Infant Discharge Record (IDR) and the Cornerstone Data Entry Screen: SV02 (Activity Entry).
- Subsequent Face-to-Face Visits with age-based assessments are to be completed at birth to the end of 1 month, 2 months through the end of 5 months, 6 months through the end of 9 months, 10 months through the end of 15 months, 16 months through the end of 21 months, and 22 months through the end of 24 months as measured by timely entry of client data into Cornerstone Data Entry Screen SV02 (Activity Entry), AS01:708 – Pediatric Primary Care questions 27-52 – Physical Assessment, AS01:708A-I (Assessments).

- Ensure completion of Developmental Screenings per schedule completed at 6 months through the end of 9 months, 10 months through the end of 15 months, 16 months through the end of 21 months, and 22 months through the end of 24 months as measured by timely entry of client data into Cornerstone Data Entry Screen SV01:824 – Developmental Screening (Service Entry). Evidence of developmental screening can be collected through agency administration or documented confirmation completed from another service provider with date screening completion.
- Completion of Immunization Education based on current CDC Guidelines as documented in Cornerstone Data Entry Screen: SV01: IMED – Immunization Education (Service Entry) at each Face-to-Face contact at birth to the end of 1 month, 2 months through the end of 5 months, 6 months through the end of 9 months, 10 months through the end of 15 months, 16 months through the end of 21 months, and 22 months through the end of 24 months.
- Infants are to receive a Home Visit with completed Home Assessment and Safe Sleep Health Education at birth to the end of 4 months as measured by timely entry of client data into Cornerstone Data Entry Screen AS01:706 Home Assessment (Assessment), SV01:SSED – Safe Sleep Education (Service Entry) and SV02 (Activity Entry). The content of home visits will be measured through annual electronic chart review during the scheduled review visit. At least 75% of infants are to receive the Home Visit and Safe Sleep Health Education.
- Referrals are completed based on assessments and care plan as documented on the Cornerstone Data Entry Screen RF01 (Service Provider Selection).

4.3.3 REFERRAL AND ADVOCACY *(revised October 2022)*

The case manager shall assure that any necessary referrals are made and advocate as necessary on the client's behalf for services identified in the individual care plan. The case manager will ensure that all infants in need of necessary services such as, but not limited to:

Early Intervention (EI) services based on the Developmental Screening
WIC services, if not enrolled in the program

will be referred and documented in the Cornerstone System Referral Screen RF01 (Service Provider Selection) with the reason for the referral. A follow-up documentation and status of the referral is required. Clients are to be given a hard copy of the referral.

4.3.4 FOLLOW-UP AND REASSESSMENT

Subsequent case management activities shall include, as necessary, a review of the implementation of the individualized care plan to date. The case manager should update the individual care plan using any additional information received from the physician or other service Agencies. These updates should occur at a quarterly minimum.

4.3.5 CORNERSTONE WORKFLOW SHEETS *(revised October 2022)*

Infant/Child Cornerstone Workflow – Addendum 04.03.05 Infant/Child

4.4 CASE CLOSURE *(revised October 2022)*

Case closure should occur when:

1. The client no longer meets age or eligibility criteria for HRIF funding
2. The client moves out of the grantee's service area
3. The client dies
4. The case management agency is no longer able to reach the client

At the time of closure, the case manager should ensure that the following activities have been completed, as appropriate for the client's circumstances:

1. The client has located a medical care provider for continued care for themselves and their child(ren)
2. The client is referred for family planning services
3. The client is referred for postpartum WIC or Commodity Supplemental Food Program (CSFP) certification
4. The client's children are referred for WIC
5. The children have begun or been referred for immunizations (if these are not contraindicated or declined by the parent)
6. The client has completed application for Medicaid for their children
7. Client has been given information regarding child restraint seats

If the client is moving to another area, the client's case records may be transferred to the new case management agency if the client's consent is obtained.

5 BETTER BIRTH OUTCOMES PROGRAM

High-risk pregnant individuals in areas of the state with higher-than-average Medicaid costs associated with poor birth outcomes and with higher-than-average numbers of Medicaid individuals delivering premature infants are enrolled in the Better Birth Outcomes (BBO) program.

BBO offers a standardized prenatal education curriculum that emphasizes the importance of regular prenatal medical care visits; home visits each trimester active in the program; and monthly engagement with the BBO case manager for continued prenatal education, care coordination and communication with the client's prenatal medical provider. The program's emphasis on reproductive life planning and health benefits associated with the delay of subsequent pregnancy impacts Illinois' infant mortality rate and rates of prematurity in Medicaid-eligible pregnant individuals. Individuals are enrolled in BBO through the duration of pregnancy up to six weeks postpartum. Because the pregnant individuals that are the target population for these services are not individuals who typically tend to seek out early prenatal medical care or other needed services, agencies participating in the BBO program are expected to develop an annual outreach plan.

5.1 STAFFING QUALIFICATIONS

All case managers must be enrolled in the Case Management training provided by the Springfield Urban League within 3 months of working in any MCH program and can be required to attend the training again at any time during their work with MCH Programs as required by the MCH Nurse Consultant or Local Agency MCH Coordinator.

5.1.1 CASE MANAGER *(revised October 2022)*

The case manager must meet one of the following qualifications:

- 1) Registered Nurse (RN)
- 2) Master's Degree Social Worker (MSW)
- 3) Master's Degree in Counseling Psychology
- 4) Licensed Professional Counselor (LPC)
- 5) Licensed Clinical Professional Counselor (LCPC)
- 6) Master's Degree in Human Services and Counseling with specialization in counseling
- 7) Master's Degree in Public Health (MPH) with specialization in public health nursing, women's health, or reproductive health.

Approval by the Department is required for other credentials not indicated in the qualifications above.

5.1.2 PROGRAM COORDINATOR

The MCH Coordinator is responsible for the overall administration of the program to assure compliance with all State policies and Federal regulations. Responsibilities may include:

1. Supervision, evaluation, and direction of BBO staff by ensuring that staff at all levels are competent to complete job specific duties when providing BBO program services.
2. Serve as the Local Agency liaison to State MCH Staff by:
 - a. Providing communication regarding Local Agency questions, concerns, and any agency specific activities impacting the BBO Program.
 - b. Participating in State and Regional BBO conference calls and meetings
 - c. Communicating to staff BBO Program updates and reinforcement of program requirements.
3. Determine staff training needs and coordinate education opportunities.
4. Conduct Quality Assurance activities and monitor the following areas and identify improvement needs:
 - a. Daily Clinic Operations
 - b. Reports
 - c. Perinatal Education
 - d. Agency Policy & Procedure

5. Attend professional conferences, seminars, and workshops to update staff on current BBO practices and other information relevant to BBO.
6. Identify and collaborate with local Agencies and other community partners.
7. Manage assigned caseload per IDHS Grant Agreement.
8. Maintain oversight controls and records.
9. Ensure employee compliance and program integrity.
10. Coordinate with the agency Security Coordinator to ensure continuity of operations. (See 1.9.1, 1.9.2, 1.9.6, 1.9.7)

5.1.3 CASE MANAGER ASSISTANTS & FRONTLINE/CLERICAL STAFF

Paraprofessionals and lay workers may be used to perform some case management functions under the supervision of the case manager. These functions may include:

1. Intake, follow-up with clients or Agencies to ensure that clients are accessing needed services
2. Provision of support and assistance that clients may require to access services
3. Conducting outreach activities
4. Maintaining client files and clinic schedule
5. Scheduling of appointments and follow-up on missed/upcoming appointments
6. Managing client correspondence.

5.2 ELIGIBILITY

BBO services are to be offered to individuals eligible according to the guidelines below:

- High risk as determined by the Department of Healthcare and Family Services Medicaid claims data indicating Medicaid individuals with a prior poor birth outcome; or
- High risk as determined by the presence of two or more risk factors as identified by the 707G Cornerstone assessment or one risk factor when approved by the MCH Nurse Consultant.

If existing caseloads are at maximum capacity, individuals are to be enrolled in Family Case Management as a prenatal client. Once an opening is available in Better Birth Outcomes, the client can be transferred from FCM to BBO.

5.3 CONTENT

5.3.1 FREQUENCY

Case Managers must, at minimum, have a Face-to-Face contact with the client every month they are enrolled in the program. Each Face-to-Face contact should be documented in Cornerstone with the appropriate SV02 activity code.

A minimum of one face-to-face contact must be completed as a home visit every trimester the client

is active in the program.

A minimum of one face-to-face contact must be completed during the postpartum period as documented in Cornerstone with the appropriate SV02 activity code.

Best practices are to follow the schedule identified below in the ideal situation a client is enrolled for the full pregnancy:

- Month 1 Face-to-face in clinic
- Month 2 Home visit
- Month 3 Face-to-face in clinic
- Month 4 Face-to- face in clinic
- Month 5 Home visit
- Month 6 Face-to- face in clinic
- Month 7 Face-to- face in clinic
- Month 8 Home Visit
- Month 9 Face-to- face in clinic
- Postpartum Face-to- face in clinic

5.3.2 PROCESS *(revised October 2022)*

It is expected that agencies will provide a minimum of the following services as measured through Cornerstone chart review and performance reports to all Pregnant Individuals enrolled in Better Birth Outcomes up to the 42 postpartum days.

The following information is to be obtained and documented in Cornerstone as appropriate:

- a. Completion of the PA07 (Initial Prenatal Data) screen in Cornerstone with provision of the following:
 - i. Estimated Date of Confinement (EDC)
 - ii. Month when Prenatal Care Began (i.e., month of pregnancy and not calendar month)
 - iii. Number of Prenatal Medical visits
- b. Completion of the PA10 (Postpartum Data) screen in Cornerstone with provision of the following at the Postpartum visit:
 - i. Date of Delivery
 - ii. Number of Prenatal Medical visits completed

Pregnant individuals enrolled in the program up to 42 postpartum calendar days are to receive at minimum, the following services:

- c. Adequate prenatal care visits throughout pregnancy as measured by daily entry of client data into Cornerstone Data Entry Screens: PA07 (Initial Prenatal); PA10 (Postpartum); PA15 (Program Information); SV01:802 (Service Entry).

- d. Ensure that all enrolled individuals receive the following assessments and education with appropriate education materials provided to clients.
 - i. 707G Presence of ≥ 2 risk factors & identify (if 1 RF, must include MCH Nurse Consultant approval)
 - ii. 700: 1-40 General
 - iii. 701: Other Service Barrier
 - iv. 703: Psychosocial Stress
 - v. 704: Alcohol / Substance Abuse
 - vi. 705: Violence
 - vii. 706: Home Visiting

- e. Education about a Reproductive Well Being during pregnancy as measured by timely entry of client data into Cornerstone Service Entry Screens: SV01:941 with a hard copy in the client record.
- f. Education about Reproductive Well Being within 42 postpartum days as measured by timely entry of client data into Cornerstone Service Entry: SV01:942 with a hard copy in the client record.
- g. At least one (1) Prenatal Depression Screening completed on or greater than 20 weeks of gestation and one (1) within 42 postpartum calendar days as measured by timely entry of client data into Cornerstone Data Entry Screens: SV01-825 (Service Entry) with SV01-940 Postpartum Depression Brochure given in accordance with the Perinatal Mental Health Disorders Prevention and Treatment Act (PMD).
 - i. Screenings shall use a Medicaid-approved perinatal depression screening tool as indicated on the Department of Healthcare and Family Services website. The screening is to be completed during a face-to-face visit with the case manager and entered as a service entry (SV01: 825). This does not have to be repeated if there is documentation on the Service Entry Screen (SV01:825) that one was completed and confirmed by communication with the Primary Care or Obstetrical Care Provider or a Case Note (CM04) detailing that verification has been obtained with the Provider.
 - ii. Licensed health care workers providing BBO Case Management, prenatal care, and postnatal care to individuals shall screen new gestational parents for perinatal mood disorder symptoms at a prenatal check-up visit on or after 20 weeks gestation and at the time of a postnatal check-up in the 42 days postpartum, or provide documentation that screening was completed and confirmed by communication with the Primary Care or Obstetrical Care Provider.
 - iii. BBO licensed health care workers providing prenatal and postnatal care to an individual shall include fathers and other family members, as appropriate, in both the education and treatment processes to help them better understand the nature and causes of postpartum mood disorders. This is to be documented through Cornerstone Case Notes and will be reviewed in chart audits.

- iv. In accordance with the Perinatal Mental Health Disorders Prevention and Treatment Act (PMD), all individuals will receive information on postpartum mood disorders, including the Department's [Postpartum Depression brochure](#) and contact information for the Perinatal Depression Hotline.
- h. Collaborate and link clients to other service Agencies in the community including primary care physicians and Medicaid managed care entities for service development and integration to maximize care coordination.
- i. Delivery of the Department's standardized BBO Curriculum in its provision of prenatal education to all enrolled individuals according to the BBO Curriculum Guide with service codes entered in Cornerstone for all education modules provided.
- j. Provide a comprehensive needs assessment and have a case management care plan developed within forty-five (45) calendar days of enrollment with appropriate referrals and updated as necessary throughout participation in the BBO program.
- k. Provide the curriculum on Initiation of Breastfeeding or referral to a lactation specialist as documented in SV01: PEBF or RF01.
- l. Refer all BBO individuals and infants born to BBO individuals who may be income-eligible to the WIC program.
- m. Communicate directly with the Medicaid Managed Care Organization (MMCO) on behalf of the client to assist in arranging transportation when necessary.
- n. Ensure the documentation of the postpartum medical follow-up as documented in SV01: 820 (Service Entry), with recommendation of providing a hard copy of the (AWHONN) Post-Birth Warning Signs given to client and blood pressure measurement recorded by the case manager. If the case manager is unable to obtain a blood pressure a documentation from PCP, or a client verification of the reading should be obtained.

5.3.3 BETTER BIRTH OUTCOMES CURRICULUM *(revised October 2022)*

GUIDELINES FOR USE

While the original curriculum is divided into a series of sessions structured by trimester, the Department recommends that case managers should discuss the individual topics based upon the client's knowledge and needs during any given point in time. Client needs should drive the education delivered with most, if not all the content/topics listed over the course of the potential ten to eleven contacts made with the client. The curriculum should be administered with fidelity based upon client engagement & relationship building using a client centered approach and motivational interviewing techniques, and the required documentation into the Cornerstone system on every face to face. Supporting Materials and Cornerstone Documentation listed below may be repeated for more than one trimester.

[Addendum 5.3.3 Better Birth Outcomes Curriculum](#)

5.3.4 CORNERSTONE WORKFLOW SHEETS *(revised October 2022)*

Pregnant Cornerstone Workflow – Addendum 05.03.04 BBO Pregnant

Postpartum Cornerstone Workflow – Addendum 05.03.04 BBO Postpartum

5.3.5 REFERRAL AND ADVOCACY

The case manager shall assure that any necessary referrals are made and advocate as necessary on the client’s behalf for services identified in the individual care plan.

Minimal documentation requirements for all referrals on the RF01 (Service Provider Selection) screen in Cornerstone will include the reason for referral and documentation that follow-up has occurred.

Clients are to be given a hard copy of the referral.

The Referral is documented as an initiation of the referral, the update on status of the referral, or the completion or refusal of the referral by the client.

5.3.6 FOLLOW-UP AND REASSESSMENT

Subsequent case management activities shall include, as necessary, a review of the implementation of the individualized care plan to date. The case manager should update the individual care plan using any additional information received from the physician or other service Agencies. These updates should occur quarterly.

5.4 CASE CLOSURE *(revised October 2022)*

Case closure should occur when:

1. the client no longer meets eligibility criteria for BBO funding
2. the client moves out of the grantee's service area
3. the client dies
4. the case management agency is no longer able to reach the client

At the time of closure, the case manager should do their best to ensure that the following activities have been completed as appropriate for the client’s circumstances:

1. the client has located a medical care provider for continued care for themselves and their

children

2. the client is referred for family planning services
3. the client is referred for postpartum WIC or Commodity Supplemental Food Program (CSFP) certification
4. the client's children are referred for WIC
5. the children have begun or been referred for immunizations (if these are not contraindicated)
6. the client has been given information regarding child restraint seats

If the client is moving to another area, the client's case records may be transferred to the new case management agency according to the client transfer policy outlined in section 2.1.2 of the Policy & Procedure Manual.