

## How-Do-I? Guide: In-Home Case Management

Outcomes	Decisions	Criteria
<ul style="list-style-type: none"> <li>■ Child safety</li> <li>■ Child and family well-being</li> <li>■ Permanency for the child</li> <li>■ Appropriate type, level and intensity of HHS services and placement</li> <li>■ Family active participation</li> </ul>	<ul style="list-style-type: none"> <li>■ Type, level and intensity of services</li> </ul>	<ul style="list-style-type: none"> <li>■ Allegation findings</li> <li>■ Safety factors</li> <li>■ Risk factors</li> <li>■ Child and parent’s capacity and needs</li> </ul>

### Reasonable Efforts Requirement

Policy	Procedure	Practice Guidance
<p><b>Reasonable Efforts</b> P. L. 96-272 P. L. 95-608 P. L. 105-89 Iowa Code Chapter 232; 45 CFR.1356.21(b)</p>	<p>Offer evidence to the county attorney to present to the court to show that reasonable efforts have been made or to justify a finding of “aggravated circumstances.”</p> <p>Consider the following key factors in assessing service delivery for reasonable efforts:</p> <ul style="list-style-type: none"> <li>■ Relevance of services</li> <li>■ Adequacy of services</li> <li>■ Coordination of services</li> <li>■ Accessibility of services</li> <li>■ Diligence of efforts</li> <li>■ Agency constraints</li> </ul>	<p>Federal and state child welfare statutes stress the necessity for state child welfare agencies to make reasonable efforts to:</p> <ul style="list-style-type: none"> <li>■ Prevent the placement of children outside their homes whenever possible.</li> <li>■ Work toward reunification of children with their families after out-of-home placement.</li> <li>■ Arrange and finalize a new permanent home for the child after reunification is no longer the goal.</li> </ul>

## Assessing Service Needs

Policy	Procedure	Practice Guidance
<b>Gathering Information</b>	<p>Review intake and referral information (intake sheet, <i>Child Protective Services Assessment Summary</i>, form 470-3240, referral letter, court order).</p> <p>Obtain additional information using either <i>Authorization to Release or Obtain Health Care Information</i>, form 470-3951, or <i>Consent to Obtain and Release Information</i>, form 470-0429, or from Department records.</p> <p>Collect and review information on the:</p> <ul style="list-style-type: none"> <li>■ Child and family safety and risk factors.</li> <li>■ Nature, circumstances and seriousness of the problems of the child and family.</li> <li>■ Attitude and ability of the family to protect and support their children.</li> <li>■ Family’s existing strengths.</li> <li>■ Medical behavioral health needs of the child.</li> <li>■ Emotional, educational, medical, and legal conditions affecting stability.</li> <li>■ Family’s attitude toward services.</li> <li>■ Extended family and informal systems.</li> </ul>	<p>In assessing children and gathering information, your primary consideration must be ensuring safety and protection for the child and community and beginning planning for services to:</p> <ul style="list-style-type: none"> <li>■ Protect the child and community,</li> <li>■ Improve child and family functioning,</li> <li>■ Prevent placement or reunite the family if placement has already occurred, and</li> <li>■ Provide most effectively for a planned, permanent living environment for the child.</li> </ul>

## Application Process

Policy	Procedure	Practice Guidance
<b>Informed Consent</b>	<p>Discuss informed consent with the child and family as a first step in the application process.</p> <ul style="list-style-type: none"> <li>■ Make the child and family aware of choices related to their situation at the time of Department involvement.</li> <li>■ Document in your narrative those that participated in the discussion of informed consent and how you determined that the child and family understood their rights.</li> </ul>	<p>Iowa’s Model of Practice is built on the belief that involving families in the case planning process and supporting their participation in the necessary services and supports will achieve more positive results sooner, with more lasting effects.</p>

Policy	Procedure	Practice Guidance
<p><b>Determining Eligibility</b> 441 IAC 182.2(1)</p>	<p>Determine eligibility for family-centered services without regard to family income or eligibility for Medicaid.</p> <p>If the child or family may be eligible for Medicaid, make a coordinated effort to assist the family in making the application.</p> <p>Review intake and assessment information to determine if a child, or children, in the family meets one of the eligibility criteria for family-centered services:</p> <ul style="list-style-type: none"> <li>■ Children under six years of age who are founded victims of child abuse or neglect, regardless of whether the assessed risk is low, moderate, or high.</li> <li>■ Children six years of age or older who are founded victims of child abuse or neglect, where the assessed risk level is moderate to high.</li> <li>■ Children who are adjudicated child in need of assistance (CINA).</li> <li>■ Children on whom HHS has initiated a child protective assessment in response to an allegation of child abuse or neglect. These children may access a limited set of family-centered services.</li> <li>■ Children for whom a child in need of assistance (CINA) petition has been filed at the request of HHS or another party, and the court has set the date for the pre-hearing conference or adjudication hearing. These children may access a limited set of family-centered services.</li> </ul>	<p>When a court has ordered the Department to provide a family with family-centered services, the family is considered eligible, regardless of any other determination of need.</p> <p>The Department may ask the court to reconsider the court order or file an appeal of the court's ruling, but will provide and pay for services as directed, unless the court's ruling is modified.</p>
<p><b>Transferring Cases: Family-Centered Services</b> 441 IAC 130.6(3)</p>	<p>When children receiving family-centered services move to an area served by another county office, assess the need for ongoing services and take appropriate action.</p>	

## Family-Centered Services

Policy	Procedure	Practice Guidance
<p><b>Assessing Service Needs</b> 441 IAC 130.3(1)“a” 441 IAC 185.2(234) 441 IAC 185.3(234)</p>	<p>To assess service needs in order to develop the <i>Family Case Plan</i>, form 470-3453, review the available material on the child and family. Begin identifying which children in the family assessment:</p> <ul style="list-style-type: none"> <li>■ Have medical-behavioral health needs.</li> <li>■ Are at risk of abuse, neglect, delinquency, or placement.</li> <li>■ Will be referred for service authorization.</li> </ul>	<p>Involve the family in developing the functional assessment in order to begin developing a case plan that will protect the children and community, preserve the family, and restore the child’s functioning.</p> <p>Collect additional information, if needed, by using release of information forms.</p>
<p><b>Selecting Family-Centered Services</b> 441 IAC 185.3(1)</p>	<p>Develop the service plan by choosing one or more services based on an assessment of the child’s and family’s needs.</p> <p>Prioritize the most immediate problems and needs to identify which services are most needed.</p> <p>Review the child and family’s needs for family-centered services with your supervisor.</p>	<p>If possible, use some form of Family-Focused Meeting to maximize family input and participation in selecting services.</p>
<p><b>Determining Intensity of Family-Centered Services</b></p>	<p>Consult with the family and other members of the social work case management team and review all aspects of the child and family situation, in planning service intensity.</p> <p>Assess the frequency of contact necessary for each service.</p> <p>Ensure that your service plan takes into account other service providers and planned service coordination needs.</p>	<p>Pay special attention to:</p> <ul style="list-style-type: none"> <li>■ The degree of risks to the child or children for whom service necessity has been established.</li> <li>■ Any specific medical-behavioral health needs of children in the family.</li> </ul> <p>Intensity may vary among services over the service approval period.</p>

## Obtaining Approval for Family-Centered Services

Policy	Procedure	Practice Guidance
<p><b>Family-Centered Services</b> 441 IAC 182.1(234)</p>	<p>Request authorization from your supervisor for the service amount, scope, and duration to be provided for the child.</p> <p>Provide the following information to your supervisor:</p> <ul style="list-style-type: none"> <li>■ Reasons the child is recommended for the family-centered program.</li> <li>■ Family-centered services being recommended and the estimated service amounts and duration. Include information on any other services being provided to the child and family.</li> </ul> <p>Review service needs, recommended intensity, and duration with your supervisor when you are recommending family-centered services.</p> <p>Obtain approval and authorization for these services through your supervisor's signature on the <i>Family Case Plan</i>.</p>	
<p><b>Developing a Case Permanency Plan</b> 441 IAC 130.7(234) 441 IAC182.5(4) 441 IAC 185.5(1)"c"</p>	<p>Develop a <i>Family Case Plan</i> with family input using a team process.</p> <p>Do not include HIV test results and related medical information in a <i>Family Case Plan</i>.</p> <p>Keep the original <i>Family Case Plan</i> in the case record.</p> <p>Distribute copies of the original plan and any changes in the plan to the client and to the persons listed in Section VII of the Face Sheet.</p>	<p>The <i>Family Case Plan</i> must include:</p> <ul style="list-style-type: none"> <li>■ A description of the types, amount, and duration of services recommended.</li> <li>■ The strengths and needs of all family members and the family's desired results for services.</li> <li>■ Recommendations developed through the family team approach.</li> <li>■ A safety analysis assessment.</li> <li>■ A safety and crisis plan for the child.</li> </ul>

## Managing Family-Centered Services Delivery

Policy	Procedure	Practice Guidance
<p><b>Initiating Services</b> 441 IAC 182.4(234) 441 IAC 185.5(6)</p>	<p>Work with the child and family to select appropriate providers to deliver approved supportive services.</p> <p>Give the provider:</p> <ul style="list-style-type: none"> <li>■ The <i>Referral of Client for Rehabilitative Treatment and Supportive Services</i>, form 470-3055.</li> <li>■ A copy of the <i>Family Case Plan</i>, if available.</li> </ul> <p><b>Note:</b> A <i>Family Case Plan</i> is not required to make a referral for family team meeting facilitation services.</p> <p>Make entries into the FACS system to record required information.</p>	<p>Consider the authorized level of service intensity when choosing service providers.</p> <p>The provider's treatment plan must be in compliance with the <i>Family Case Plan</i> decision and provisions of any court orders.</p>
<p><b>Monitoring and Modifying Family-Centered Services</b></p>	<p>Make entries as needed in the FACS system to authorize payments.</p> <p>Review provider treatment plans and reports, and work with provider staff to resolve any problems.</p> <p>Forward progress reports to juvenile court when services are court-ordered.</p> <p>Consult with providers about any changes in the family's situation that may require changes in the treatment or supportive services being provided. Seek approval for any service modifications.</p>	<p>Evaluate the child's situation and response to services on an ongoing basis:</p> <ul style="list-style-type: none"> <li>■ Exchange information regularly with providers about the family's situation.</li> <li>■ Promote communication and coordination among the child's providers.</li> <li>■ Consult with your supervisor and Purchase of Service Unit staff to help resolve problems with a provider agency that are adversely affecting results achievement.</li> </ul> <p>Use periodic family team meeting to get broad assessment information on family progress, perceptions of services, and further service needs.</p>

Policy	Procedure	Practice Guidance
<p><b>Changes in Service Needs</b> 441 IAC 185.5(8)</p>	<p>Request supervisory review of services based on changes that affect the types, amount, or duration of treatment services needed.</p> <p>If modified services are authorized by your supervisor:</p> <ul style="list-style-type: none"> <li>■ Incorporate approved service changes into the <i>Family Case Plan</i>, form 470-3453.</li> <li>■ Present the service authorization to the court, if applicable.</li> <li>■ Complete form 470-3055, <i>Referral of Client for Rehabilitative Treatment and Supportive Services</i>, as needed for service delivery.</li> <li>■ Prepare a <i>Notice of Decision: Services</i>, form 470-0602, for any modified supportive services to be provided. (If the modified services are court-ordered, the court order serves as notification.)</li> </ul>	<p>If a child in the family becomes at risk of placement while family-centered services are being provided, consider requesting immediate authorization of family preservation services, if you believe these services would ensure the child's safety. This will help support the provision of reasonable efforts to prevent the child's out-of-home placement and monitor the safety within their own home.</p>
<p><b>Reevaluating and Reauthorizing Family-Centered Services</b> 441 IAC 182.4(234) 441 IAC 185.5(234)</p>	<p>Assess whether additional services are necessary:</p> <ul style="list-style-type: none"> <li>■ When the service authorization is about to end.</li> <li>■ When services are about to be terminated.</li> <li>■ Within five months from the date of initial service provision.</li> </ul> <p>Based on your reassessment, either refer the child for supervisory authorization of an additional period of services or recommend that services be terminated.</p> <p>Terminate services if your supervisor denies additional services unless services are court-ordered.</p> <p>Prepare or have the FACS system generate form 470-3055, <i>Referral of Client for Rehabilitative Treatment and Supportive Services</i>, for additional services.</p> <p>Revise the <i>Family Case Plan</i>, form 470-3453, based on service authorization decisions and any court orders.</p>	<p>Consider these factors in your reassessment:</p> <ul style="list-style-type: none"> <li>■ The child and family's response to services.</li> <li>■ The risk of abuse, neglect, or delinquency.</li> <li>■ Any documented allegations of abuse, neglect, or delinquency.</li> <li>■ The risk of placement.</li> <li>■ Emotional and behavioral conditions of the child and other family members.</li> <li>■ Stress factors and crisis situations.</li> <li>■ Child, family, and community strengths and resources.</li> <li>■ Court status and results of any court reviews.</li> </ul>

Policy	Procedure	Practice Guidance
<p><b>Reduction or Termination of Family-Centered Services</b> 441 IAC 130.5(2)</p>	<p>Reduce or terminate services any time before the date originally listed in the <i>Family Case Plan</i> or <i>Notice of Decision: Services</i>, form 470-0602.</p> <ul style="list-style-type: none"> <li>■ Reduce or terminate services to the family in a manner consistent with the client’s right to appeal adverse actions.</li> <li>■ Complete FACS system entries to close case.</li> <li>■ Complete or have the FACS system generate a <i>Referral of Client for Rehabilitative and Supportive Services</i> to indicate the date of service termination.</li> <li>■ When services are court-ordered, consult with the court on service activities and needs. <b>Do not reduce or terminate services to the child without court approval.</b></li> </ul>	<p>You may deny services if it is determined that:</p> <ul style="list-style-type: none"> <li>■ The family is not in need of services.</li> <li>■ The family does not meet Department eligibility criteria for the service.</li> <li>■ There are other community resources available to provide the services.</li> <li>■ Similar services are available free of charge to the client.</li> </ul> <p>Give service providers as much notice as possible when services are reduced or terminated to help minimize any negative impact changes in services have on the family.</p>
<p><b>Appeals</b> 441 IAC Chapter 7 441 IAC 185.7(234) 441 IAC 182.10(234)</p>	<p>Continue to monitor the situation of the child or family during the appeal process.</p>	



## Family Preservation Services

Policy	Procedure	Practice Guidance
<p><b>Assessing Need for Family Preservation Services</b>            441 IAC            185.3(234)            441 IAC            185.45(234)</p>	<p>Determine that:</p> <ul style="list-style-type: none"> <li>■ There is an immediate or high risk of placement for at least one child in the family or</li> <li>■ A child who has been in placement for 30 days or less and can be returned home within five days of service initiation.</li> </ul> <p>Identify the specific needs of the child.</p> <p>Review the case with your supervisor.</p>	<p>Family preservation services may be provided when one or more children have been placed out of the home. Services can be initiated within 30 days after the child has been placed, when the child has specific medical-behavioral health needs, and the child can return home within five days of service initiation.</p>
<p><b>Immediate vs. Regular Family Preservation Services</b>            441 IAC 185.3(2)</p>	<p>Determine the risk of placement for one or more children in the family is immediate or high.</p> <ul style="list-style-type: none"> <li>■ <b>Immediate risk of placement:</b> For these families, require the provider to initiate services within one hour and have face-to-face contact with the family within three hours of receiving the referral.</li> <li>■ <b>High risk of placement:</b> For these families, require the provider to initiate services and have face-to-face contact with the family within 24 hours of receiving the referral.</li> </ul>	<p>These cases may include families already receiving preventive services but whose progress is such that a continuation of the (non-family preservation) services would not ensure family unity and self-sufficiency upon termination of the services or adequately address the medical-behavioral health needs of the child identified at risk of placement out of the home.</p> <p>These cases also include families in which <b>no</b> medical-behavioral health needs of the child identified at risk of placement out of the home are determined, but services are still needed to reduce risk of placement or reunite the child with the family.</p>

Policy	Procedure	Practice Guidance
<b>Request for Family Preservation Service Authorization</b> 441 IAC 185.3(2)	Contact your supervisor to request service authorization for family preservation services.  If your supervisor authorizes services, proceed with provider selection and initiation of family preservation services.	If there is an imminent risk of placement and an emergency protective need to initiate family preservation service after hours, on weekends, or on holidays, obtain supervisory approval to initiate a referral to a provider.
<b>Selecting and Initiating Family Preservation Provider Services</b> 441 IAC 185.3(5)“a”(3)	Assist the family in selecting a local family preservation provider.  Incorporate the service authorization into the <i>Family Case Plan</i> , form 470-3453.  Present the service authorization or denial information to the court when further court action is planned.	

## Core Treatment Services: Preservation

Policy	Procedure	Practice Guidance
<b>Family Preservation Services</b> 441 IAC 152.1	Once services are arranged, complete form 470-3055, <i>Referral of Client for Rehabilitative Treatment and Supportive Services</i> , with the medical-behavioral health needs of the child or statement that no medical-behavioral health needs were determined included in the comment section. <ul style="list-style-type: none"> <li>■ Forward a copy to the provider.</li> <li>■ Keep a copy for the Department’s case file.</li> </ul> Open the family preservation case on the FACS system.  If the family is unwilling to apply and the case is under the jurisdiction of the juvenile court, request a court order directing the parents to apply on the child’s behalf.	The goal for family preservation is preventing or remedying abuse, neglect, or exploitation and preserving, rehabilitating, or reuniting families. Valid objectives are: <ul style="list-style-type: none"> <li>■ Protection for children</li> <li>■ Treatment for children who have been or have a potential for being abused, neglected, or exploited</li> <li>■ Preserving, rehabilitating, or reuniting families</li> </ul> Services to children with disabilities to enable them to remain in the family

Policy	Procedure	Practice Guidance
<b>Treatment Plan: Family Preservation Services</b> 441 IAC 185.1 441 IAC 185.10(4) 441 IAC 185.3(5)“b”	<p>Consult with the provider in the development of the provider’s treatment plan within the first ten days of service.</p> <p>Ensure that the plan is in compliance with the <i>Family Case Plan</i>, form 470-3453 and the IFMC authorization.</p>	<p>Family preservation providers shall develop treatment plans in consultation with the referral entity, child, and family within ten days of initiation of services.</p>

### Monitoring and Follow-Up: Family Preservation Services

Policy	Procedure	Practice Guidance
<b>Monitoring Family Preservation Services</b> 441 IAC 130.6 441 IAC 130.7	<p>Review treatment plans and progress reports.</p> <p>Consult with providers about changes that affect the delivery or need for services.</p> <p>Make appropriate entries on the FACS system.</p> <p>If further services are appropriate at the close of family preservation services, present and review information with your supervisor regarding the need for continued services.</p>	
<b>Early Termination of Family Preservation Services</b> 441 IAC 185.4(6) 441 IAC 185.3(4)	<p>Family preservation services may be discontinued within ten days of service initiation when there is a change in the family situation that warrants closing the services.</p>	<p>Family preservation may need to be terminated for the following reasons:</p> <ul style="list-style-type: none"> <li>■ Change in the condition of the child and family that affects the services needed.</li> <li>■ The family’s refusal to participate in services.</li> <li>■ Other factors that may necessitate the early termination of family preservation services.</li> </ul>

## Supportive Family Assistance Fund Services

Policy	Procedure	Practice Guidance
<p><b>Eligibility for Family Assistance Fund Services</b> 441 IAC 181.1</p>	<p>Determine if a family is eligible for family assistance fund services when the family is receiving family preservation services at the time of the purchase.</p>	<p>Family assistance fund services consist of the purchase of goods or services which will reduce the risk of placement of the child. Only certified providers of family preservation services shall be considered eligible providers of family assistance fund services.</p>
<p><b>Use of Family Assistance Funds</b> 441 IAC 181.3(2) 441 IAC 181.3(3)</p>	<p>Purchases must meet the following requirements:</p> <ul style="list-style-type: none"> <li>■ The purchase helps remove barriers to or is otherwise necessary to the achievement of child placement prevention goals.</li> <li>■ Funds for the goods or services purchased are not otherwise available from local, state, federal, or other sources in a timely manner.</li> <li>■ The purchase occurs during the period of time the family is receiving family preservation services.</li> <li>■ The purchase is for emergency food, shelter, clothing or other time-limited emergency assistance that is directly related to the goal of reducing the risk of placement.</li> </ul> <p>If there is a question whether a proposed purchase would be acceptable, contact the program manager before granting approval for the purchase.</p>	<p>Family assistance funds may not be used for purchases such as:</p> <ul style="list-style-type: none"> <li>■ Tobacco products, alcohol, non-essential food items (i.e., soda, candy)</li> <li>■ Purchase of vehicles</li> <li>■ Costs related to illegal behavior, such as moving violations</li> <li>■ Telephone bills and deposits (may be acceptable depending on the individual case)</li> <li>■ Rewards for participating in services</li> <li>■ Services or supports which cannot be completed during the service delivery time</li> </ul>

Policy	Procedure	Practice Guidance
<p><b>Expenditures by Provider</b> 441 IAC 181.3(8)</p>	<p>The provider shall determine the amount of family assistance funds used for each family and may purchase goods or services for eligible families when:</p> <ul style="list-style-type: none"> <li>■ The total amount of purchases is less than \$200, and the HHS service area manager has not required written approval before subsequent purchases.</li> <li>■ The total amount of purchases equals or exceeds \$200, and the HHS service area manager provided written approval for the purchase.</li> <li>■ The HHS service area manager has required prior Department approval before subsequent purchases and the provider has obtained approval for the purchase.</li> <li>■ The HHS service area manager has not provided notice to discontinue family assistance fund services.</li> </ul>	
<p><b>Denial of Use by the Provider</b> 441 IAC 181.3(11)</p>	<p>Providers may decide not to use family assistance fund services for a family for the following reasons:</p> <ul style="list-style-type: none"> <li>■ The proposed use is not consistent with the HHS requirements.</li> <li>■ The purchase cannot be made before family preservation services are terminated.</li> <li>■ The service area manager has issued a notice to discontinue use of family assistance funds.</li> <li>■ The service area manager denies the provider's request for approval of a purchase.</li> </ul>	

Policy	Procedure	Practice Guidance
<p><b>Approval for Purchases Through Family Assistance Funds</b>            441 IAC 185.121            441 IAC 181.3(9)            441 IAC 181.3(10)</p>	<p>Providers shall obtain written approval before using family assistance funds in the following situations:</p> <ul style="list-style-type: none"> <li>■ The provider determines that purchases of \$200 or more is warranted.</li> <li>■ The provider has received notice from the service area manager requiring written approval before all purchases.</li> </ul>	