PROCESS GUIDE

HRIF Data Finalization

A Step-by-Step Guide

2027

HIGH RISK INFANT FOLLOW-UP

California Perinatal Quality Care Collaborative

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Introduction

The California Perinatal Quality Care Collaborative (CPQCC), in partnership with California Children's Services (CCS), launched the web-based High Risk Infant Follow-Up (HRIF) Reporting System to collect, manage, and track data from CCS HRIF Program clinics California. For additional information about the CCS HRIF Program, please visit https://cpqcc.org/follow/what-hrif.

Data Finalization is the process of reviewing and verifying data submitted to the CPQCC/CCS HRIF Reporting System to ensure that records for all eligible infants born within a specific birth year are complete, accurate, and up to date. This process is a shared responsibility among the HRIF Reporting support team, participating CCS NICUs and HRIF Program teams. Conducted annually from January through July, Data Finalization supports timely and accurate reporting, program performance monitoring, and identification of quality improvement opportunities to improve infant care and outcomes.

These guidelines are intended to assist participating CCS NICUs and HRIF Programs in completing the Data Finalization process and meeting CPQCC and CCS expectations for complete, accurate and timely data submission. They also support the preparation of birth year cohort-based CCS HRIF Annual Reports for each participating CCS HRIF Program.

Deliverables and Deadlines

Reporting requirements are based on each infant's age, HRIF Programs are responsible for completing and submitting data for infants from multiple birth year cohorts within the same year.
For calendar year 2027, the deliverables include:

January - May	Submit a Help Desk ticket (www.cpqcchelp.org) to schedule an optional data review.
April 1st	**Preview the CCS Annual Report** for infants born in 2023
May 1st	Earn the **Super Star Award** by completing the June 1st deliverables by this date.
June 1st	The following deliverables are due: • Submission of no priority cases for infants born in 2023 • Submission of no error or warning cases for infants born in 2023 • Close RR forms for all infants born in 2025 • Submission of SV #1 and/or AV form for all expected infants born in 2025
June 2nd	Earn the **Follow Up Rate Award** for meeting the target core visit follow up rate for infants born in 2023.
June 17th	**Confirm the CCS Annual Report** for infants born in 2023 (available June 2nd).
July1st	• Register/accept all eligible HRIF infants born in 2026 from referring CCS NICUs. • Review and sign off on the HRIF Directory
July 11th	Earn the **Crown Award** by completing all deliverables on time: June 1st, June 17th and July 1st.

For more details, see Timeline for Finalizing Data.

Communication

Email

All HRIF Reporting System communications, including system improvements, updates, and program announcements, will be distributed via email through Mailchimp.

To ensure you receive important communications, please keep your email address and contact information up to date in the **Member Directory**.

- **Subscribe to the HRIF Mailing List:** Complete the online subscription form.
- **Questions or Technical Issues:** Submit a Help Desk ticket for assistance.

Help Desk

For questions or assistance, please submit a ticket through the CPQCC Help Desk at www.cpqcchelp.org.

You can expect a response from HRIF Support staff within **3 days** of submitting your ticket. Tickets will be automatically closed if no follow-up response is received within **5 days** of the HRIF Support team's reply.

When submitting a ticket, please include:

- Your name and HRIF Program/organization
- Type (required): **HRIF Database**
- HRIF Inquiry (required): e.g. **Login Issue**, **Training Session** or **Data Finalization**
- Description: **A brief description of your question or issue**
- Relevant patient identifiers or record details, if applicable, using approved secure channels.
- Any error messages or screenshots that may help troubleshoot the issue

NOTE: CPQCC office hours are Monday through Thursday, 8:00 am – 5:00 pm. All requests sent after hours, on weekends or on holidays will be responded to during office hours.

Resources

- **HRIF Data Resources:** The HRIF Reporting System Manual, reporting forms, and DFP documentation are available on the HRIF Data Resources webpage.
- **CPQCC Member Directory:** Provides a list of NICU and CCS HRIF Program data contacts at participating CPQCC member hospitals. Available in the **Reporting System** navigation panel, the directory helps connect NICU and HRIF colleagues across hospitals.

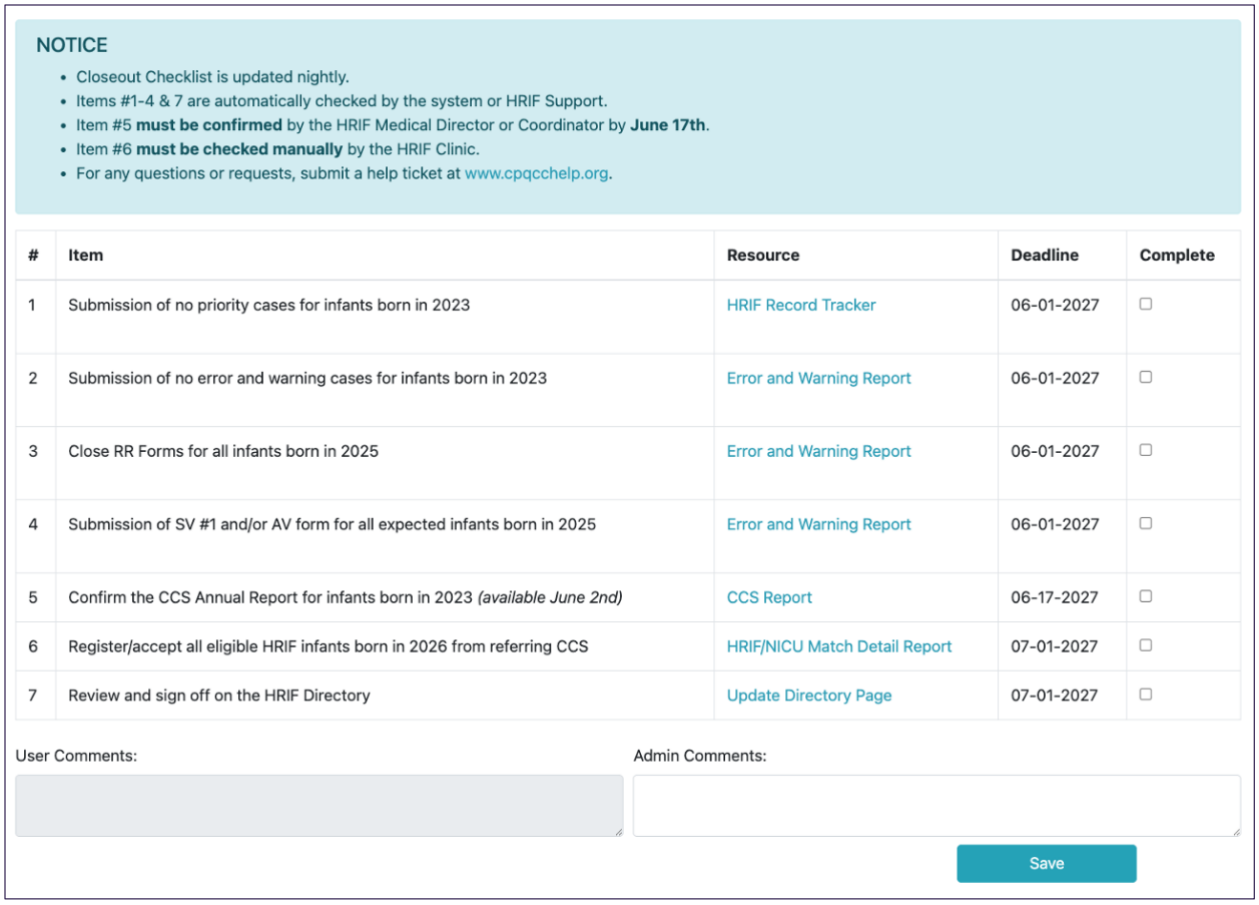
  Please help keep your center's directory current by updating contact information as staffing changes occur. To make updates, click the **User** icon in the upper-right corner of the Reporting System and select **Update Directory**.

Data Finalization Guidelines

Closeout Checklist Overview

The Closeout Checklist is designed to assist HRIF Clinics throughout the Data Finalization Process. Find the Closeout Checklist under the Tools tab in the Reporting System:

- **#**: the task item number
- **Item:** the description of the deliverable
- **Resource**: links to tools and resources to aid in completing the deliverable
- **Deadline**: the due date
- **Complete:** checkbox/date stamp to indicate the deliverable is complete:
    - Items 1 - 4 and 7 are grayed out. The checkbox will automatically be checked by the system once the deliverable is completed.
    - Item 5 **must** be confirmed by the HRIF Clinic's medical director or coordinator
    - Item 6 **must be checked manually** by HRIF Clinic to complete the deliverable
- **Comment Box:** If needed, add notes in the **User** space about any outstanding or unusual issues that may impact completion of the checklist. HRIF Support staff may make notes in the **Admin** space.



NOTICE

- Closeout Checklist is updated nightly.
- Items #1-4 & 7 are automatically checked by the system or HRIF Support.
- Item #5 **must be confirmed** by the HRIF Medical Director or Coordinator by **June 17th**.
- Item #6 **must be checked manually** by the HRIF Clinic.
- For any questions or requests, submit a help ticket at www.cpqcchelp.org.

#	Item	Resource	Deadline	Complete
1	Submission of no priority cases for infants born in 2023	HRIF Record Tracker	06-01-2027	☐
2	Submission of no error and warning cases for infants born in 2023	Error and Warning Report	06-01-2027	☐
3	Close RR Forms for all infants born in 2025	Error and Warning Report	06-01-2027	☐
4	Submission of SV #1 and/or AV form for all expected infants born in 2025	Error and Warning Report	06-01-2027	☐
5	Confirm the CCS Annual Report for infants born in 2023 *(available June 2nd)*	CCS Report	06-17-2027	☐
6	Register/accept all eligible HRIF infants born in 2026 from referring CCS	HRIF/NICU Match Detail Report	07-01-2027	☐
7	Review and sign off on the HRIF Directory	Update Directory Page	07-01-2027	☐

User Comments:

Admin Comments:

Save

Timeline for Finalizing Data

1. **January through May – Submit data and edit for completeness and accuracy.**
   For more on how to use the system tools, see Reporting System Tools Overview.
2. **April 1st – Preview 2023 CCS Annual Report**
   Review the report for accuracy and completeness.
   NOTE: The report is refreshed nightly to include any updates made to infants born in 2023 data records.
3. **May 1st – SUPER STAR Award granted**
4. **June 1st - Deadline** (11:59 pm)
   a. **Born in 2023: Finalize Infant Records**
      i. Complete all corrections and close the following forms: Referral/Registration (RR), Standard Visit (SV), Additional Visit (AV) and Client Not Seen Discharge (CNSD).
      ii. Verify that every CPQCC NICU infant has a valid NICU Reference IDs/Timely Referral tool.
      iii. Verify that all case records are complete using the Record Tracker.
      iv. Verify that all case records are complete using the Error and Warning.
   b. **Born in 2025: Close RR forms**
      i. Verify all RR forms are closed using the Error and Warning.
      NOTE: **This Form is Closed** checkbox must be checked.
   c. **Born in 2025: Submit of SV #1 (or AV) form**
      i. Verify that every expected infant born in 2025 has a submitted and closed **SV #1** or **AV** form using the Record Tracker.
5. **June 2nd – FOLLOW UP Award granted**
6. **June 17th – Deadline: Confirm the 2023 CCS Annual Report** (11:59 pm)
      i. Review the final Annual Report (available beginning **June 2**)
      ii. The HRIF Clinic Medical Director/Coordinator **must** confirm the report.
      If the HRIF Clinic Medical Director or Coordinator is unable to confirm, a designated proxy can confirm the report on their behalf.
7. **July 1st – Deadline** (11:59 pm)
   a. **Born in 2026: Register Eligible HRIF infants**
   NOTE: The HRIF Reporting System will only accept registrations for infants born in 2026 or later.
      i. Register and accept all eligible infants. Work with NICU Data contacts to ensure all eligible infants have been referred and registered.
      ii. Review the HRIF/NICU Match Status Report on www.cpqccreport.org to identify HRIF eligible infants. Submit a Help Desk ticket if you need access to the NICU Report site.
      iii. Verify that every CPQCC NICU infant has a valid **NICU Record ID** using the NICU Reference IDs/Timely Referral tool.
   NOTE: This closeout item **must be checked manually** by the HRIF Clinic.
   b. **Review and Update the HRIF Directory**
   Review and updated your clinic's directory information.
      i. Enter the first and last name of the person who last updated the directory before submission.

ii. The **Last Modified Date** must fall within calendar year 2027 for the item to be marked complete.

8. **July 11th – CROWN Award granted**
9. **August through December – Submit data and edit for completeness and accuracy.** For more on how to use the system tools, see Reporting System Tools Overview.

Awards

All awards will be displayed above your Closeout Checklist. To see the awards that your center has earned, go to **About → Membership → Current Members** on the CPQCC website and select your center.

To see the entire list of possible awards and download award certificates, go to **About → Membership → Member Awards** on the CPQCC website. For each award your center has received, click on **View Award Certificates** to download your award notice.
NOTE: Awards will be announced via the CPQCC MailChimp e-mails.

	**Super Star**	Earned by HRIF Clinics that complete items #1 through #4 **by May 1st**.
	Follow-up Rate	Earned by HRIF Clinics that meet the follow-up rates for the closing birth year: **1St Visit ≥ 80%; 2nd Visit ≥ 70%** and **3rd Visit ≥ 60%**
	**Crown**	Earned by HRIF Clinics that meet all closeout deliverable due dates: **June 1st**, **June 17th** and **July 1st**
	**Surprise**	Granted as a surprise for positive performance in a particular area. This award is not given out every year.

Reporting System Tools Overview

Record Tracker

The Record Tracker helps HRIF Clinics track and finalize/close patient records. The system displays the **Date Expected** for when the patient should have been seen for SV #1, #2 and #3, based on the recommended time frames. The **Date Expected** is calculated by using the patient's gestational age. Once the SV form is submitted, the **Visit Date** and the visit **Disposition** will override the **Date Expected.**

Case Status Definitions:

- **All Cases**
- **Priority Cases All** are displayed in red and identify records with current adjusted age ≥37 months with a **non-discharged** disposition and missing standard visit(s).
- **Warning Cases All** are displayed in yellow and identify records with current adjusted age <37 months with a **non-discharged** disposition and the **Date Expected** for when the patient should have been seen for a standard visit(s) has passed.
- **Warning SV #1** identify records without an SV #1 submitted and the **Date Expected** for when the patient should have been seen for this visit has passed.
- **Warning SV #2** identify records without an SV #2 submitted and the **Date Expected** for when the patient should have been seen for this visit has passed.
- **Warning SV #3** identify records without an SV #3 submitted and the **Date Expected** for when the patient should have been seen for this visit has passed.
- **Upcoming SV #1** identifies records approaching the **Date Expected** for SV #1
- **Upcoming SV #2** identifies records approaching the **Date Expected** for SV #2
- **Upcoming SV #3** identifies records approaching the **Date Expected** for SV #3
- **Closed Cases** are patient records with a **Discharged** disposition selected to close the case.

Guidelines (Priority Cases):

1. If the record is missing any Standard Visit (SV), Client Not Seen/Discharge (CNSD) or Additional Visit (AV) forms, **the HRIF Clinic must enter the form(s) and then close the case.**
2. If the patient was never seen, OR the latest SV or CNSD form entered has a **non-discharged** disposition (ex: Scheduled to Return) and the client never returned for further visits, **the HRIF Clinic must submit a CNSD form and select a "discharged" disposition to close the case.**
3. If the patient received all three standard core visits, and the 3rd visit disposition = **Will be followed by another CCS HRIF Clinic**, this indicates that the case is **"open"** due to the **"non-discharged"** disposition entered. **The HRIF Clinic can change the 3rd visit disposition to "Discharged - Completed HRIF Core Visits, Referred for Additional Resources" OR if the client returned for a further visit, submit an AV form and select a "discharged" disposition to close the case.**

4. If the latest SV or CNSD form entered has a disposition = **Will be followed by another CCS HRIF Clinic**, BUT the record was never properly transferred, then there may be a duplicate record in the system. **Submit a Help Desk ticket to resolve this issue.**
   NOTE: If no duplicates are found, then the HRIF Clinic must submit a CNSD form and select a **discharged** disposition to close the case.
5. If the patient has completed all three standard core visits and has a **discharged** disposition, then the record must have open forms. **The HRIF Clinic must check the "Case History" to make sure all form status are "Closed".**

NICU Reference IDs / Timely Referral

This tool provides a list of all infants registered in your clinic and allows the HRIF Clinic staff to update NICU Record IDs and view if HRIF eligible infants were referred/registered timely (within 60 days) after NICU discharged to home.

Records can be filtered by the infant's birth month and year, by birth weight category: all, Small Baby (≤ 1500 grams), or Big Baby (≥ 1500 grams), or by timely referral category: all, Within 2 months, Between 2-6 months, After 6 months, or Still in Hospital (SIH). **NOTE:** All Small Babies born or discharged from a CPQCC/CCS NICU should have been assigned a NICU Record ID.

NICU Reference ID (definition)

The NICU Reference ID is a combination of:

1. The last six digits of the Health Care Access and Information, HCAI facility ID from the discharging/referring or birth CCS-approved NICU
2. The infant/child's NICU Record ID from the discharging/referring or birth CCS-approved NICU hospital, where the infant/child was born or admitted on or before day 28 of life. **The CCS-approved NICU discharging the infant/child home could also be the same facility referring the infant/child to the HRIF Clinic.**

E.g. for a NICU with HCAI ID "12345" and an infant in that NICU whose NICU Record ID is "67899", the NICU Reference ID would be "12345-67899".

The HCAI ID and NICU Record ID **must** match. If you use the birth hospital's HCAI ID, then you **must** use the birth hospital's NICU Record ID.

Every CPQCC/CCS-approved NICU hospital has a NICU Data Contact that keeps a record of all patients who meet the CPQCC NICU eligibility criteria. Use the **CPQCC Member Directory** to identify the NICU Data Contact(s) from the discharging/referring or birth hospital. The directory is available in the **Reporting System** navigation panel.

NOTE:

- Enter **99999** or check the "Infant NOT NICU Eligible" checkbox, for infants who did not qualify for CPQCC NICU eligibility criteria.

- Enter **00000** for infants when a NICU Record ID has not been assigned at the time of referral/registration to the HRIF Clinic. If a NICU Record ID is assigned to the infant later, use the "Manage NICU Reference ID" tool to correct the NICU Record ID.
- Enter **77777** for infants who met the CPQCC NICU eligibility criteria, but was never assigned a NICU Record ID.

Error and Warning Report

The Error and Warning Report is designed to help HRIF clinic teams identify missing, incomplete, or incorrect data entries before finalizing records. It highlights records requiring attention and provides a clear action plan for resolving each issue to improve data quality and ensure complete submissions. The report identifies the following issues:

- All Issues
- Duplicate Record
- Expected SV #1 Missing
- Met Age Limit for Program
- Missing Birth Date of Mother
- Missing Discharge Date
- Missing NICU Record ID
- No Forms
- Open RR Forms
- Transfer Record Incomplete

The following section describes each issue and provides recommended steps to resolve it.

Issue Definitions

1. **Duplicate Record** - displays matched records across the entire HRIF Database.
2. **Expected SV #1 Missing** - displays records for patients who are ≥ 8 months adjusted age and do not have an SV#1 or AV form.
3. **Met Age Limit for Program** - displays records for patients who are currently ≥ 3 years old and the record has not been closed with a **Discharged** disposition.
4. **Missing Birth Date of Mother** – If **Mother**" or **Both Parents** selected as Primary Caregiver, **Birth Mother's DOB** cannot be left as **Unknown**.
5. **Missing Cardiac Center** – displays records of HRIF infants eligible due to CHD Requiring Surgery or Intervention with **Unknown** coded as the CCS Cardiac Center.
6. **Missing Discharge Date** - displays records with **Still in Hospital** selected on the RR form.
7. **Missing NICU Record ID** - displays patient records with birth weight ≤ 1500 grams or < 32 weeks' gestation age with NICU Record IDs coded as **00000, 99999**.
8. **No Forms** - displays records for patients who are currently ≥ 12 months adjusted age and DO NOT have an SV, AV or CNSD form submitted in the database.
9. **Open RR Forms** - displays open RR forms that need to be closed.

10. **Transfer Record Incomplete** - displays records that have a **Will be Followed by Another CCS HRIF Program** disposition entered on the SV, AV or CNSD forms.

Guidelines to Resolve Issues

1. **Duplicate Records:**
   - Contact the HRIF Clinic with the duplicate case to review the records.
   - Make sure **all** data variables are captured on the RR form (NICU Reference ID, Birth Mother's Date of Birth, Date of Discharge to Home, etc.).
   - Combine **all** data forms (SV, AV and CNSD) into the record of choice.
   - The HRIF Clinic **not** providing follow up services for the patient should transfer or remove the duplicate record from the system. At the bottom of the RR form entry screen check **Delete Patient Record**, cite the reason (i.e. Duplicate Record), then click the **Delete** button to remove the record from the system.

     NOTE: Use the **Patient Data Quality Self-Audit Instrument Report** located in the patient's "Case History" to review any details of the record.

2. **Expected SV #1 Missing:**
   - Submit the missing SV #1 or AV form
   - If the child was **never** followed (i.e. not seen in clinic), submit a CNSD form, select the reason and disposition to document why the patient was not seen in the HRIF Program.

3. **Met Age Limit for HRIF:**
   - Submit a CNSD form to close the patient's record:

     Category: Discharged
     Reason: Select a reason or code as **Other = Aged out of Program**
     Disposition: Discharged – Closed Out of Program

4. **Missing Birth Date of Mother**
   - If the Mother's Birth Date is truly **Unknown** submit a Help Desk ticket to indicate the reason why the information cannot be obtained, include the record's HRIF ID number. HRIF Support will override the system and resolve the error/warning notice.

5. **Missing Cardiac Center**
   - Select the **CCS Cardiac Center** where the patient received CHD surgery.
   - Select **Non-CCS Cardiac Center**, if surgery was not performed at one of the listed centers.

6. **Missing Discharge Date:**
   - Uncheck the **Infant Still in Hospital** checkbox
   - Enter the date when the child was discharged to home

   NOTE: **Date of Discharge to Home** is a required field and must be completed.

7. **Missing NICU Record ID:**
   - Contact the NICU Data Contact from the birth **or** discharging CCS-approved NICU to

obtain the NICU Record ID. Use the CPQCC Member Directory to obtain Data Contact information. The directory is available in the side navigation panel in the Reporting System.

- Review the **HRIF/NICU Match Detail Report** available at the NICU Reports site (www.cpqccreport.org). Submit a Help Desk ticket if you have any questions or need access to the NICU Reports site.
  NOTE: The HCAI ID and NICU Record ID must match. If you use the birth hospital's HCAI ID, then you must use the birth hospital's NICU Record ID.

8. **No Forms:**
   - Submit the missing SV or AV form(s).
   - If the child was never followed, submit a CNSD form, select the reason and disposition to document why the patient was not seen in the HRIF Program.

9. **Open RR Forms:**
   - Click **This Form is Closed** or **Unable to Complete** checkbox to close the form.
   - If **Unable to Complete**, submit a CNSD form to document the reason for not seeing the patient in clinic.

10. **Transfer Request Requirements and Process:**
    - Contact the CCS HRIF Clinic Coordinator where the patient will be transferred to inform them of the patient.
    - **Provide the HRIF ID#** and appropriate documentation to the clinic before processing the transfer request in the Reporting System.
    - The case must meet the following requirements to process the transfer request:
      - **All forms are closed** (RR, SV, AV and CNSD).
      - **Will be followed by another CCS HRIF Program** is selected in the most recent form's disposition.
      - The **Seen Date** on the most recent form must be within 60 days when requesting a transfer. If greater than 60 days. Submit a new CNSD form.
    - Watch the How-to Create a Transfer Request video or see How to Transfer a Record to Another CCS HRIF Clinic?.

      NOTE: Help tickets are no longer required to process transfer requests.

      NOTE: Transfer request **not approved within 2-weeks** of the transfer request date **will be returned** to the clinic processing the transfer.

HRIF/NICU Match Summary and Match Detail Reports

The NICU Reports site offers two reports that are designed to assist NICUs in identifying HRIF eligible infants and determining their HRIF registration status. These reports are based on a **daily** update of a linkage of NICU infants and HRIF accepted referral/registered infant records. To request access to the NICU Report site, please submit a Help Desk ticket. The following automated tasks facilitate these reports:

- Multiple encounters within NICU Database of the same infant are reconciled, and the encounter that resulted in a discharge home is made available for linkage to HRIF.
- The set of NICU infants discharged home is linked to a list of new and updated HRIF registrations daily. This linkage is based on the following information: NICU Record ID number (if provided during the HRIF registration), infant date of birth, infant gender, mother's date of birth, hospital of birth, hospital infant was discharged home from, gestational age at birth, birth weight and multiple status (including birth order).

The daily linkage is based on a probabilistic match technique that generates a match score for each HRIF registration and NICU infant. Matches with a high score are presumed to be matches, however, this technique hinges on accurate reporting of the match variables. Therefore, if an HRIF registration and a NICU record persistently do not match, both, the HRIF registration information and NICU record should be reviewed closely for any discrepancies. If a record continues to not match, please submit a Help Desk ticket.

The **HRIF/NICU Match Summary Report** provides match results for several key groups of HRIF eligible infants. For each group, the number of infants discharged home from the reporting NICU that meets the group criterion is shown, along with the percent of these infants registered with HRIF. A summary report including all years since 2009 and yearly summary reports are available.

The **HRIF/NICU Match Detail Report** provides detailed HRIF registration status information for all NICU infants. This list can be filtered to efficiently find infants who meet HRIF criteria but are not registered.

The CPQCC/HRIF linkage focuses on the following groups of infants who were admitted to the reporting NICU by day 28 of life or earlier during any CPQCC NICU stay prior to home discharge or transport to a non-CCS NICU, and who are eligible for both NICU and HRIF databases:

- Extremely Low Birth Weight Infants (ELBW) or infants with a birth weight of ≤ 1,000 grams.
- Very Low Birth Weight Infants (VLBW) or infants with a birth weight of ≤ 1,500 grams.
- Infants born at less than 28 weeks completed gestation.
- Infants born at 29 to less than 32 weeks completed gestation.
- Infants born at 36 weeks completed gestation or later and who received a diagnosis of moderate or severe HIE during their NICU stay.
- Infants who experienced active cooling during their NICU stay.
- Infants with ECMO during their NICU stay.

- Infants with Congenital Heart Disease (CHD).
- Infants with Nitric Oxide.
- Infants with Seizures.

The **HRIF/CPQCC Match Detail Report** is helpful for:

- **Identifying NICU records that should be registered/referred to HRIF Program**
  Set the filter to **Unlinked NICU record, HRIF Eligible due to VLBW, GA, HIE, ECMO, Active Therap Hypoth, CHD, INO, Seizures**.

- **Identifying Unlinked HRIF records**
  Set the filter to **Unlinked HRIF registration**. Displays HRIF records not matched to a NICU record. **NOTE:** Not all these records will be matched to a NICU record. In fact, some of these infants might not be part of the NICU database (admitted after 28 days; HRIF eligible, but not NICU eligible).

- **Understanding why an HRIF record does not match**
  Matching HRIF registrations and NICU records hinges upon finding a minimum level of agreement between the data in the two records. Most important for matching are the birth date, location of birth, infant sex, and multiple status (singleton, twins, triplets, e.g.). For multiples, birth order, number of multiples in set and birth weight are extremely important for identifying matches. Maternal birth date, discharge date and gestational age provide important additional information especially if there is disagreement on the primary match variables. Finally, knowing the NICU Record ID number increases the likelihood of matching a NICU and HRIF records substantially.