



## INDIANA DEPARTMENT OF CHILD SERVICES

### CHILD WELFARE POLICY

#### Chapter 17: Residential Licensing

#### Section 01: Initial Licensing Process

**Effective Date:** October 1, 2023

**Version:** 2

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### POLICY OVERVIEW

The initial licensing process prepares an applicant to fulfill all regulations and requirements for a Licensed Residential Facility, as mandated by Indiana Code (IC), Indiana Administrative Code (IAC), and Indiana Department of Child Services (DCS) policies. During the initial licensing process, the applicant submits documentation regarding planned operations to provide details about the ways in which the facility will ensure the health, safety, and well-being of children served.

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### PROCEDURE

The DCS Residential Licensing Unit (RLU) partners with facilities seeking licensure as a Child Caring Institution (CCI), Private Secure Facility (PSF), or Group Home (GH) and provides guidance throughout the licensing process. A standardized list of documentation is required for submission by the applicant in consideration of licensure. This list is available from the RLU.

The RLU will:

1. Review the Residential Licensing Inquiry (SF 57093) form or request that the interested individual or agency completes the form during the initial contact;
2. Conduct a pre-screening with the interested individual or agency to discuss the licensing process and requirements, gather additional information, and advise of next steps;
3. Recommend the interested individual or agency attend the New Agency Orientation;

**Note:** To complete licensure, the New Agency Orientation must be completed.

4. Verify the interested individual or agency has an administrator that meets the requirements in the IAC;
5. Provide the schedule and registration details regarding New Facility Training to the interested individual or agency;
6. Ensure the individual or agency attends the New Facility Training;
7. Review the completed Application for License to Operate a Children's Group Home (GH), Child Caring Institution (CCI), or a Private Secure Facility (PSF) Indiana Code (IC) 31-27-3 or 31-27-5 (SF 45158);
8. Contact the applicant to discuss the application and any additional information and/or action needed for application acceptance;
9. Ensure the applicant submits the following documentation to RLU, after acceptance of the application, to become a DCS vendor:

- a. W-9 Request for Taxpayer Identification Number and Certification,
- b. Automated Direct Deposit Authorization Agreement using the W-9 and Direct Deposit Form Instructions and W-9 and Direct Deposit Form Q & A, and
- c. Information Systems Access and Use Agreement KidTraks User Agreement.

**Note:** The applicant must be established as a DCS vendor to access KidTraks and upload documentation required for the licensing process.

10. Email relevant forms to the applicant for completion prior to the on-site Initial Licensing Review. The list of relevant forms can be found on the Approximate Residential Licensing Application Steps form, available from the RLU. These forms will be reviewed during the on-site Initial Licensing Review and may include:
  - a. Residential Licensing – Child Caring Institution (CCI) Staffing (SF 57092),
  - b. Residential Licensing – Group Home (GH) Staffing (SF57091),
  - c. Residential Licensing – Private Secure Facility (PSF) Staffing (SF 57090).

11. Support the applicant, as needed, in gathering and uploading required documentation to KidTraks. See the Vendor Profile Attachments Provider Quick Start Guide for additional information;

**Note:** The applicant may download a list of required documentation from KidTraks.

12. Verify the applicant has submitted architectural plans, including specifications for safety and sanitation, to the Indiana Department of Health (IDOH) Health Care Engineering Program;
13. Verify the applicant has submitted the following forms to IDOH at the Health, Food, and Sanitation (HFS) Survey Email:
  - a. Health Care Program – Child Caring Institutions, Private Secure Facilities, Group Homes, and Emergency Shelters form, and
  - b. Nutrition Program – Child Caring Institutions, Private Secure Facilities, Group Homes, and Emergency Shelters form.

14. Review documentation as it is submitted, complete the Checklist for Initial Licensure, and ensure all documentation is correctly uploaded to KidTraks, including but not limited to the following documentation from IDOH:
  - a. Building approval letter/occupancy permit,
  - b. Health Program approval, and
  - c. Nutrition Program approval.

15. Contact the DCS Central Office Background Check Unit (COBCU) to request that they register the applicant for Fingerprint-Based Checks for the purpose of residential licensing. See policy 13.15 Fingerprint-Based Checks;

16. Contact the Indiana Department of Homeland Security (IDHS) to request a Fire Marshal Inspection;

**Note:** The state Fire Marshal Inspection must be completed prior to the on-site Initial Licensing Review.

17. Request that the Indiana Department of Health (IDOH) Survey be completed;

**Note:** The IDOH Survey must be completed prior to the on-site Initial Licensing Review.

18. Notify the applicant that background checks should be obtained for the Administrator and any employees. See policies 13.01 Conducting Background Checks for Licensed Residential Agencies and Child Placing Agencies and 13.02 Evaluating Background Checks for Licensed Residential Agencies and Child Placing Agencies;

**Note:** Documentation of background checks will be reviewed during the on-site Initial Licensing Review.

19. Schedule and conduct the on-site Initial Licensing Review (see policy 17.02 Initial Licensing Review) for initial licensure upon verification of the following:

- a. All required documentation and approvals have been uploaded to KidTraks, and
- b. Notification by the applicant that the facility is operational except for perishables.

20. Complete the Qualified Residential Treatment Program (QRTP) verification process if the facility is seeking QRTP designation. See policy 17.03 Verification of QRTP Designation;

21. Review with the applicant any requirements which have not been met and plan for any needed follow-up;

22. Approve the license in the case management system once all requirements are met;

23. Email the license to the agency; and

24. Provide information regarding the rate setting process if the licensed agency wishes to pursue a DCS contract. See policy 17.04 Rate Setting.

The COBCU will register the applicant for fingerprints upon request from RLU.

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## RELEVANT INFORMATION

### Definitions

N/A

### Forms and Tools

- [Application for License to Operate a Children's Group Home \(GH\), Child Caring Institution \(CCI\), or a Private Secure Facility \(PSF\) Indiana Code \(IC\) 31-27-3 or 31-27-5 \(SF 45158\)](#)
- Approximate Residential Licensing Application Steps – Available from the RLU
- [Automated Direct Deposit Authorization Agreement \(SF 47551\)](#)
- Central Office Background Check Unit (COBCU) email - [cobcuinquiry@dcs.in.gov](mailto:cobcuinquiry@dcs.in.gov)
- Checklist for Initial Licensure – Available from the RLU
- [Health Care Program – Child Caring Institutions, Private Secure Facilities, Group Homes, and Emergency Shelters \(SF 45879\)](#)
- [Information Systems Access and Use Agreement KidTraks User Agreement \(SF56798\)](#)
- [Nutrition Program – Child Caring Institutions, Private Secure Facilities, Group Homes, and Emergency Shelters \(SF 46683\)](#)
- [Residential Licensing – Child Caring Institution \(CCI\) Staffing \(SF 57092\)](#)
- [Residential Licensing – Group Home \(GH\) Staffing \(SF57091\)](#)
- [Residential Licensing – Private Secure Facility \(PSF\) Staffing \(SF 57090\)](#)
- Residential Licensing Unit (RLU) email- [residential.licensing@dcs.IN.gov](mailto:residential.licensing@dcs.IN.gov)
- [Residential Licensing Inquiry \(SF 57093\)](#)

- [State Department of Health: DCS Residential Facility Compliance](#)
- [State Department of Health: Health Care Engineering Program](#)
- State Department of Health - Health, Food, and Sanitation (HFS) Survey email - [HFSSurvey@ISDH.IN.gov](mailto:HFSSurvey@ISDH.IN.gov)
- [Vendor Profile Attachments Provider Quick Start Guide](#)
- [W-9 and Direct Deposit Form Instructions](#)
- [W-9 and Direct Deposit Form Q & A](#)
- [W-9 Request for Taxpayer Identification Number and Certification](#)

### **Related Policies**

- [13.01 Conducting Background Checks for Licensed Residential Agencies and Child Placing Agencies](#)
- [13.02 Evaluation Background Checks for Licensed Residential Agencies and Child Placing Agencies](#)
- [13.15 Fingerprint-Based Checks](#)
- [17.02 Initial Licensing Review](#)
- [17.03 Verification of Qualified Residential Treatment Program \(Q RTP\) Designation](#)
- [17.04 Rate Setting](#)

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### **LEGAL REFERENCES**

- [IC 31-27-3 Regulation of Child Caring Institutions](#)
- [IC 31-27-5 Regulation of Group Homes](#)
- [465 IAC 2-9 Children's Homes and Child Caring Institutions](#)
- [465 IAC 2-10 Emergency Shelter Care Children's Homes and Child Caring Institutions](#)
- [465 IAC 2-11 Private Secure Facilities](#)
- [465 IAC 2-12 Children's Homes and Child Caring Institutions Defined as Group Homes](#)
- [465 IAC 2-13 Children's Homes and Child Caring Institutions Defined as Emergency Shelter Care Group Homes](#)

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## PRACTICE GUIDANCE- DCS POLICY 17.01

*Practice Guidance is designed to assist DCS staff with thoughtful and practical direction on how to effectively integrate tools and social work practice into daily case management in an effort to achieve positive family and child outcomes. Practice Guidance is separate from Policy.*

N/A

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