



INDIANA DEPARTMENT OF CHILD SERVICES CHILD WELFARE POLICY

Chapter 17: Residential Licensing

Section 11: Annual Review for Licensed and/or Contracted Agencies

Effective Date: July 1, 2022

Version: 1

- [Procedure](#)
- [Definitions](#)

- [Forms and Tools](#)
- [Related Policies](#)

- [Legal References](#)
- [Practice Guidance](#)

POLICY OVERVIEW

The Department of Child Services (DCS) conducts an annual review of residential facilities that are licensed and/or contracted with the state of Indiana to ensure compliance with the Indiana Administrative Code (IAC), Indiana Code (IC), and DCS policies and contracts. The ability to ensure optimal child health, safety, and well-being are key factors when reviewing a residential facility's level of compliance.

[Back to Top](#)

PROCEDURE

The DCS Residential Licensing Unit (RLU) will conduct an annual review of each licensed and/or contracted residential facility which consists of both a programmatic and clinical portion.

Note: The clinical portion of the annual review applies only to a licensed residential facility which is contracted with DCS.

Prior to the Review

The Residential Licensing Specialist (RLS) will:

1. Email the agency (with read receipt) the following scheduling letters approximately 90 calendar days prior to the scheduled review:
 - a. Notice of Background Check Review, and
 - b. Notice of Annual Contracted Residential Review, or
 - c. Notice of Non-Contracted Residential Review, or
 - d. Notice of Comprehensive Contracted Residential Review.
2. Review required documents in the case management system to determine if additional documentation is needed.

Note: See the Vendor Profile Attachments Provider Quick Start Guide for more information and guidance for the agency regarding uploading attachments to the case management system.

3. Within one (1) week of scheduled review, assess the employee and resident lists provided by the agency, choose file sampling based on size of agency and number of sites, and notify agency of file sample;
4. Review the previous year's license review documents; and
5. Discuss any specific concerns and/or needs with the RLS Supervisor or other members of RLU, as needed.

During the Review

The RLS will:

1. Meet with the agency administrator or designee to review documents and discuss the review process, as needed;
2. Start a file review by completing the following:
 - a. Check approval by the Indiana Department of Health (IDOH), Fire Marshall, Health Program, Food/Nutrition Program, and Sanitation, and
 - b. Check the facility's waivers and/or variances. See policy 17.05 Residential Licensing Waiver and Variance for additional information.
3. Conduct a building and grounds tour and observe agency programming;
4. Complete interviews with agency staff, residents, and/or other identified stakeholders (e.g., Court Appointed Special Advocate [CASA] or Guardian Ad Litem [GAL]; placing agency; and/or parent, guardian, or custodian);
5. Complete a review of agency files;
6. Follow-up with any outstanding questions and ensure completion of the following documents:
 - a. Background Check Review Form(s),
 - b. Background Check Review Summary, and
 - c. Relevant staffing form(s):
 - i. Residential Licensing – Private Secure Facility (PSF) Staffing;
 - ii. Residential Licensing – Group Home (GH) Staffing; and/or
 - iii. Residential Licensing – Child Caring Institution (CCI) Staffing.
7. Discuss the outcome and any questions/concerns with the other RLU members and collect team member's notes, if applicable;
8. Document findings and complete scoring on the appropriate Review Tool (i.e., contracted, non-contracted, Emergency Shelter Care [ESC] only, annual, or comprehensive); and

Note: For facilities who are designated as Qualified Residential Treatment Programs (QRTPs), the RLU will assess compliance to QRTP standards.

9. Conduct an Exit Meeting with facility leadership to discuss the scoring of the review and any strengths or concerns (including a Plan of Correction [POC], if applicable).

For a Review with POC Findings

Refer to policy 17.13 Review for Licensing Action for additional required steps.

For a Review without POC Findings

The RLS will complete all steps above and:

1. Complete all applicable items on the Review Tool using all notes;
2. Complete Background Check Review Form(s) and Background Check Review Summary;
3. Send the following to the RLS Supervisor:
 - a. Completed Review Tool,
 - b. Background Check Review Form(s), and
 - c. Background Check Review Summary.
4. Upon RLS Supervisor approval, send the completed Review Tool and completion email to the facility; and
5. Upload review documentation to the case management system.

The RLS Supervisor will:

1. Guide and support the RLS throughout the Annual Licensing Review, as needed;
2. Review all applicable documents sent from the RLS; and
3. Sign the applicable documents and return the documents to the RLS, upon approval.

[Back to Top](#)

RELEVANT INFORMATION

Definitions

N/A

Forms and Tools

- Annual Review Tool – Available from RLU
- Background Check Review Form – Available from RLU
- Background Check Review Summary – Available from RLU
- Completion Letter – Available from RLU
- Comprehensive Review Tool – Available from RLU
- Contracted Agency Review Tool – Available from RLU
- ESC Only Review Tool – Available from RLU
- Non-contracted Agency Review Tool – Available from RLU
- Notice of Annual Contracted Residential Review – Available from RLU
- Notice of Non-Contracted Residential Review – Available from RLU
- Notice of Comprehensive Contracted Residential Review – Available from RLU
- Notice of Background Check Review – Available from RLU
- [Residential Licensing – Child Caring Institution \(CCI\) Staffing \(SF57092\)](#)
- [Residential Licensing – Group Home \(GH\) Staffing \(SF57091\)](#)
- [Residential Licensing – Private Secure Facility \(PSF\) Staffing \(SF57090\)](#)
- [Vendor Profile Attachments Provider Quick Start Guide](#)

Related Policies

- [17.05 Residential Licensing Waiver and Variance](#)
- [17.13 Review for Licensing Action](#)

[Back to Top](#)

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](#)
- [42 USC 671 State plan for Foster Care and Adoption Assistance](#)

[Back to Top](#)

PRACTICE GUIDANCE – DCS POLICY 17.11

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

[Back to Top](#)