

	INDIANA DEPARTMENT OF CHILD SERVICES CHILD WELFARE POLICY	
	Chapter 17: Residential Licensing	Effective Date: November 1, 2021
	Section 01: Initial Licensing Process	Version: 1

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.

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) to provide guidance throughout the licensing process. A standardized list of documentation is required for submission by the applicant in consideration of licensure.

The RLU will:

1. Review the Residential Licensing Inquiry form or request during initial contact that the interested individual or agency completes the form;
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 that the interested individual or agency attend the New Agency Orientation;

Note: In order to complete licensure, New Agency Orientation is required.

4. Verify the interested individual or agency has an administrator that meets the requirements in the IAC;
5. Provide 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 GH, CCI, or a PSF IC 31-27-3 or 31-27-5 form;
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 to become a DCS vendor, after acceptance of the application:
 - a. W-9 Request for Taxpayer Identification Number and Certification,
 - b. Automated Direct Deposit Authorization Agreement, 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 review. These forms will be reviewed during the on-site review and may include:
 - a. Residential Licensing – CCI Staffing,
 - b. Residential Licensing – PSF Staffing, or
 - c. Residential Licensing – GH Staffing.

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 is able to 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 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 to schedule background checks in the IdentoGO system;

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 for additional guidance;

Note: Documentation of Background Checks will be reviewed during the on-site Initial Licensing Review.

19. Schedule and conduct the on-site review for initial licensure upon verification that all required documentation and approvals have been uploaded to KidTraks and notification by the applicant that the facility is operational except for perishables. See policy 17.02 Initial Licensing Review for further guidance;
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 for further guidance;
21. Communicate with the applicant regarding 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 for additional guidance.

COBCU will register an applicant for a residential license in the IdentoGO system upon request from RLU.

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](#)

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 \(SF45158\)](#)
- [Automated Direct Deposit Authorization Agreement \(SF47551\)](#)
- Background Check Sheet – Available from the RLU
- Checklist for Initial Licensure – Available from the RLU
- COBCU Email: cobcuinquiry@dc.in.gov
- [Health Care Program – Child Caring Institutions, Private Secure Facilities, Group Homes, and Emergency Shelters \(SF45879\)](#)
- [Information Systems Access and Use Agreement KidTraks User Agreement \(SF56798\)](#)
- [State Department of Health: Health Care Engineering Program](#)
- State Department of Health - Health, Food, and Sanitation (HFS) Survey Email: HFSsurvey@ISDH.IN.gov

- [State Department of Health: DCS Residential Facility Compliance](#)
- [Nutrition Program – Child Caring Institutions, Private Secure Facilities, Group Homes, and Emergency Shelters \(SF46683\)](#)
- [Residential Licensing – Child Caring Institution \(CCI\) Staffing \(SF57092\)](#)
- [Residential Licensing – Group Home \(GH\) Staffing \(SF57091\)](#)
- [Residential Licensing – Private Secure Facility \(PSF\) Staffing \(SF57090\)](#)
- Residential Licensing Email: residential.licensing@dcs.IN.gov
- [Residential Licensing Inquiry \(SF57093\)](#)
- [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](#)
- [17.02 Initial Licensing Review](#)
- [17.03 Verification of QRTP Designation](#)
- [17.04 Rate Setting](#)