



State/Multi-Site System Central Administration  
Standards Manual  
Effective February 1, 2019 through  
December 31, 2022

Developed by the Department of Child Services July 2018

Reviewed by the HFI Leadership and Policy Committees August 2018

Approved with recommended changes September 14, 2018

Per the Healthy Families America (HFA) multi-site standards (valid from 1/1/18 to 12/31/21)

**What is a State/Multi-Site System?**

An affiliated HFA State/Multi-Site System consists of a central administrative entity providing support to a group of **HFA Single Sites**. The functions of the central administration involve the delivery of policy, training, quality assurance (via a standardized annual site visit process to assess quality of implementation), technical assistance (variable in format and delivery method and tailored to the needs of each site to improve quality), evaluation (and research when applicable), and administrative guidance to the system. The Central Administration standards establish the expectations for the central administration in order to receive HFA State/Multi-Site System accreditation. In addition to the HFI Central Administration adhering to the State/Multi-Site System standards found in this document, the Indiana sites must adhere to the HFA Best Practice Standards.

**Healthy Families Indiana (HFI) Mission:** Promote nurturing relationships as the foundation for optimized development and resiliency of strong families, using an evidence-based home visiting model.

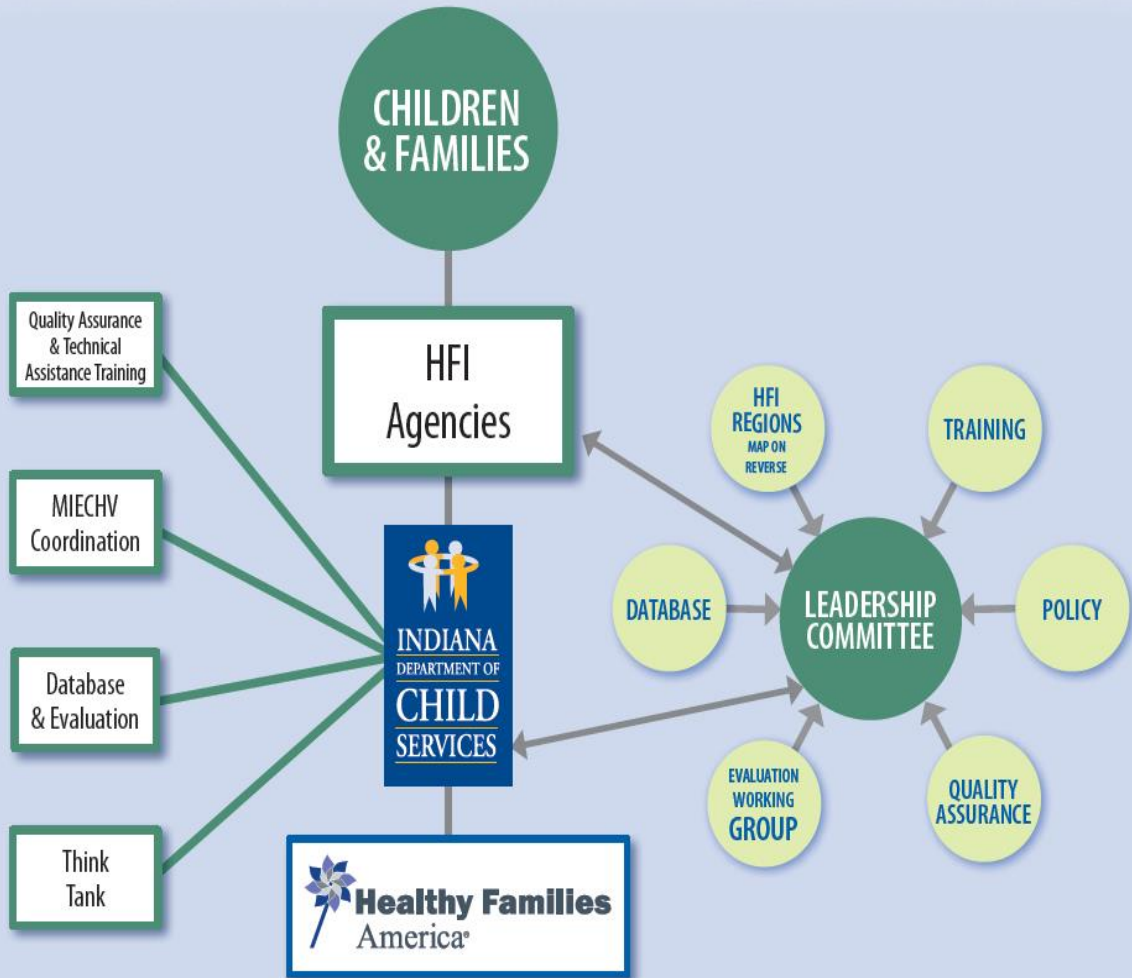
**HFI Vision:** Families are supported in their homes to create a nurturing and healthy environment where children thrive.

The HFI multi-site/central administration policies are structured differently from the HFI policies as they are broadly organized by the six functional areas required of the central administration within a State/Multi-Site System, rather than around the HFA Critical Elements. State/Multi-Site System Central Administration standards are based upon best practices in quality assurance literature, rather than home visiting research. It is the expectation the HFI central administration will perform or provide for each of these functional areas.

HFI Central Administration is defined as designated DCS staff (state employees), the HFI Leadership Committee co-chairs, Quality Assurance, Technical Assistance, Training, Database, Evaluation contractors, and the Maternal, Infant, Early Childhood Home Visiting (MIECHV) grant coordinator.

**Multi-Site Systems and required HFA Implementation Training:** All Central Administration TA and QA staff hired January 1, 2018 or later, and site level program managers hired January 1, 2018 or later are required to complete HFA Implementation training within eighteen months of hire. This three day in-person training covers all requirements of the HFA model and how to implement the Best Practice Standards to fidelity.

Organizational Chart of the Healthy Families Indiana system



Healthy Families Indiana acronyms to be used in this manual

DCS – Department of Child Services

HFI – Healthy Families Indiana

HFA – Healthy Families America

FSW – Family Support Worker

FSS – Family Support Specialist

FRS – Family Resource Specialist

FAW – Family Assessment Worker

EWG – Evaluation Work Group

QA – Quality Assurance

TA- Technical Assistance

CE – Critical Element

EAP – Employee Assistance Program

TTS – Training Tracking System

IDOA – Indiana Department of Administration

CAN – Child Abuse and Neglect

BPS – Best Practice Standards

IRB – Institutional Review Boards

PM – Program Manager



**Healthy Families Indiana  
Statewide/Multi-Site System  
Central Administration Standards Manual**

<b>Chapter:</b> Policies	
<b>Section:</b> HFI State/Multi-Site System Central Administration Standards, P-1 Local sites policies and procedures for implementation of BPS standards	

**POLICY**

The HFI Central Administration has policies and procedures which guide site operations and implementation of the HFA Best Practice Standards at the local level. The HFI Central Administration has established and maintains written central administration policies governing contractual requirements and operation at the site level. These policies include how sites within the multi-site system operationalize the standards identified in the HFA Best Practice Standards (BPS). Multi-site system policies (related to site operation) are developed and refined/ revised, in part, with input from the Indiana HFI sites within the system, and with up-to-date information from the other central administration functional areas of policy, training, quality assurance/technical assistance, evaluation, and administration. The HFI Central Administration communicates, clarifies, and updates the sites regarding any changes to policies and procedures regarding guidance on the implementation of the HFA Best Practice Standards and HFI policies.

Department of Child Services Contract References

Section 1. Duties of Contractor, D (2) The HFI Services provided by the Contractor must be provided in a manner that is consistent with the most current Healthy Families America Best Practice Standards and must comply with the most current “Critical Elements” defined by Healthy Families America as a result of repeated evaluation of early intervention programs with children and families.

Healthy Families America (HFA) References

2018-2021 State/Multi-Site System Central Administration Standards, P-1.1, 1.2, 1.3

**PROCEDURES**

The Healthy Families Indiana policy manual is written and approved by the Department of Child Services Child Welfare Services division based on input from HFI Committees, Quality Assurance (QA) contractor, Database and Evaluation contractor(s), and the MIECHV grant contractor. The HFI Central Administration is composed of DCS staff, HFI Leadership Committee co-chairs, Database and Evaluation contractor(s), QA, Technical Assistance, and Training contractor(s), and MIECHV grant contractor.

The Department of Child Services (DCS) in consultation with the HFI Central Administration as needed will:

Process steps

1. Seek input on policies from the HFI Leadership Committee, HFI Policy Committee, local HFI sites, contractors, and DCS staff in the development of both the HFI policy manual and the State/Multi-site policy manual.
2. Maintain the State/Multi-site level policy manual and provide final approval of updates to the HFI Policy manual following review and approval by HFI Leadership Committee in collaboration with the HFI Policy Committee.
3. Review policies in collaboration with the HFI Policy Committee at least annually.
4. Distribute/make available the HFI Policy manual to local sites for the sites to develop their own manuals that must match HFI policies which are guided by HFA standards and DCS requirements.
5. Through the QA contractor, review the site level policy manual during the annual site visit. Sites may request consultation when updates are being made.
6. Offer training when policies affect service delivery, supervision, and/or management. All sites will have access to technical assistance for policy development and implementation of policies at the local site.
7. Communicate policies through the HFI Leadership and Policy Committees as needed to the sites' program managers through email, manager phone calls, semi-annual program manager meetings, specific Web sites, and other forms of communication. Policy manuals and subsequent changes to the manuals will be provided to local sites no less than 30 days prior to changes being implemented.

The local HFI site will:

Process steps

1. Contribute input to the HFI policies as requested by DCS and through the HFI Policy Committee.
2. Develop their own specific policy manual that must match HFI policies and procedures.
3. Seek waiver from DCS if not able to follow specific HFI policies and procedures. Maintain all documentation of DCS waiver to be shared during the annual QA visit.
4. Request technical assistance from the TA contractor as needed and identified during the annual QA visit.
5. Regularly review the policy manuals provided to the site for any changes to policy.

HFA tools

HFA Sample Policies and Procedures Checklist,  
<https://app.box.com/s/iff70zbofwkib1uwca3e6te3rrfyw6ry>



**Healthy Families Indiana**  
**Statewide/Multi-Site System**  
**Central Administration Policy and Procedure Manual**

<b>Chapter:</b> Policies	
<b>Section:</b> HFI State/Multi System Central Administration Standards, P-2.1 Central administration policies and procedures to guide and inform sites on CA functioning	

The HFI Central Administration, composed of DCS staff, QA/TA/Training, database, evaluation, and MIECHV subcontractors and the HFI Leadership Co-Chairs, has policies and procedures which guide and inform sites on the functioning of the central administration and the interactions between the central administration and the local sites. The HFI Central Administration has established and maintains written policies governing the operation of the central administration including policies related to its functioning in the areas of training, quality assurance, technical assistance, evaluation and administration. The central administration communicates, clarifies, and updates the sites regarding the goals, objectives, policies and procedures, and functions of the multi-site system. Updates to the central administration policies and procedures will be provided to the local sites no less than 30 days in advance of implementation when applicable.

Healthy Families America (HFA) References

2018-2021 State/Multi-Site System Central Administration Standards, P-2.1, 2.2

**PROCEDURES**

The DCS and HFI Central Administration will:

Process steps

1. Ensure the local sites are aware of who participates in the HFI Central Administration. The HFI Central Administration is made up of DCS staff including the Prevention Coordinator, Prevention Services Consultant, and Prevention Services Manager as well as the contractors for Quality Assurance, Technical Assistance, Training, Database, Evaluation, and MIECHV grant coordination and the HFI Leadership Co-Chairs.
2. Develop in collaboration with the HFI Leadership and HFI Policy Committees a multi-site policy manual that provides information on training, quality assurance, technical assistance, database and evaluation that is provided by the HFI Central Administration.
3. Ensure all sites have access to the multi-site policy manual for all new staff to read as part of their orientation. [See the HFI State/Multi-site policy 2.2 for staff training around the multi-site policy manual.]

4. Communicate goals, objectives, policies and procedures, and functions of the HFI Central Administration through the HFI Leadership and HFI Policy Committees as needed to the sites' program managers through email, manager phone calls, semi-annual program manager meetings, specific Web sites, and other forms of communication. Policy manuals and subsequent changes to the manuals will be distributed and made available on the HFI database.
5. Communicate changes to the multi-site policies and procedures no less than 30 days prior to implementation as applicable.

The Local HFI Site will:

Process steps

1. Contribute to state/multi-site policy as requested by DCS, HFI Central Administration and the HFI Leadership and Policy Committees.
2. Regularly review the policy manuals posted to the HFI database site for any changes to policy.
3. Ensure all staff have information on the HFI multi-site system and manual during orientation.

Documentation/Reporting requirements

1. During orientation, document that staff has reviewed the HFI multi-site policies.





**Healthy Families Indiana  
Statewide/Multi-Site System  
Central Administration Standards Manual**

<b>Chapter:</b> Policies	
<b>Section:</b> HFI State/Multi-Site System Central Administration Standards, P-2.3, P-2.4, P-2.5 Central administration training, quality assurance, technical assistance policies for local sites	

The HFI Central Administration has policies and procedures which guide and inform sites on the functioning of the central administration and the interactions between the central administration and the sites, including how training, quality assurance, and technical assistance are delivered within the system. Specific trainings including family support worker CORE, family resource specialist/assessment CORE, and supervisor CORE are provided by the HFI Central Administration through a contractor. Individual HFI sites are responsible for orientation, stop gap, and wrap around trainings for staff but can find assistance for these trainings through the HFI Central Administration. HFI Central Administration provides an annual quality assurance review of each HFI site and requested technical assistance to the HFI sites through a contractor. The HFI Central Administration supports each site in assessing model fidelity and improving service quality and offers an annual objective review by well-trained staff. HFI Central Administration has a system to provide technical assistance (through a contractor) to all sites in a timely manner.

Department of Child Services Contract References (local HFI sites contract)

Section 1. Duties of Contractor C.

All HFI staff, including Family Resource Specialists and Family Support Specialists, Supervisors, and Managers employed by local Healthy Families sites, must complete forty (40) hours of CORE Training within the first six (6) months of employment. Staff that have not yet completed forty (40) hours of CORE Training must complete “Stop Gap” training (as defined by Healthy Families America Best Practice Standards) prior to providing services to families. All newly hired HFI staff must complete an orientation program prior to providing services to families and must complete the ongoing trainings required at three (3), six (6), and twelve (12) months following their date of hire, as well as any additional training required by Healthy Families America in accordance with Healthy Families America Best Practice Standards.

Section 1. Duties of Contractor L.

The State shall monitor and review the Contractor’s delivery of services during the term of this Contract. The procedure that the State uses for monitoring the Contractor may change during the term of this Contract, and the Contractor will be notified of such changes. The procedure that the State uses for monitoring the Contractor may include, but not be limited to, the following:

- (1) conduct site visits and case file reviews as a means of ensuring quality service provision;

- (2) review of invoices or claims submitted by the Contractor for payment, in relation to the service categories and/or unit rates, and in relation to any additional payment/financial information set forth in Section 2 [Consideration] and/or in any attachments, including the specified total remuneration amount in Section 2(D);
- (3) peer review using a tool approved by DCS;
- (4) information provided, verbally or in writing, by DCS to the State concerning the Contractor's delivery of services;
- (5) information provided, verbally or in writing, by service recipients, whether directly or through a DCS' local office, concerning the Contractor's delivery of services;
- (6) review of the results of services provided in relation to the desired outcomes of those services; and
- (7) information contained in any reports or evaluations relating to the Contractor's delivery of services.

#### Healthy Families America (HFA) References

2018-2021 State/Multi-Site System Central Administration Standards, P-2.3, 2.4, 2.5

### **PROCEDURES**

#### The DCS will:

1. Develop a Request for Proposal for training, quality assurance, and technical assistance in order to identify a contractor(s) that meet(s) the HFA accreditation training, quality assurance, and technical assistance standards and HFI policies as needed using state contracting processes.
2. Request training for sites at any time as part of the training contract.
3. Ensure there is a training tracking system for all HFI sites to use to track their staff members' trainings.
4. Ensure the HFI Training, Quality Assurance, and Technical Assistance contractor(s) has/have certified HFA staff to provide HFI CORE training as well as certified to provide additional trainings (e.g., the Ages and Stages Questionnaire 3 and ASQ-Social Emotional 2), quality assurance, and technical assistance.
5. Monitor the HFI Training, Quality Assurance, and Technical Assistance contract(s) compliance through monthly invoice reports and review of the scope of work annually.
6. Ensure that if the Quality Assurance contractor is affiliated with a HFI site, that site at their own expense will hire an outside contractor to provide the quality assurance through the annual visit.

#### The HFI Central Administration will:

1. Provide FAW/FRS, FSW/FSS, and Supervisor CORE training, program manager mentoring, and topic training related to areas in which the HFI sites struggle to meet HFA standards or HFI policies.
2. Create a plan to provide HFA Implementation Training for all program managers hired since January 1, 2018 to occur prior to June 30, 2019.

3. Develop annually the state training plan in collaboration with the HFI Training Committee, HFI Leadership Committee, and HFI Think Tank.
4. Ensure that a written quality assurance plan in collaboration with the HFI Quality Assurance/Technical Assistance committee and the QA/TA contractor(s) explains the purpose of the plan and details all quality assurance activities to ensure sites understand accountability measures they are responsible for meeting with goals and objectives described with timeframes and expectations. The plan is reviewed annually and approved by the HFI Leadership Committee and DCS.
5. Communicate the QA Plan to HFI sites annually.
6. Gather input from program managers/supervisors in collaboration with the HFI QA/TA and Leadership Committees as well as the HFI Think Tank advisory members at a minimum every two years on the QA plan through a variety of ways including meetings, emails, web portals, websites, committees, surveys, etc.
7. Monitor adherence to the HFA training requirements through the quality assurance system.
8. Expect the TA contractor to provide TA as requested and/or required to assist sites in meeting HFA standards and HFI policies. TA can be provided through phone calls and e-mails, as well as the TA contractor staff being available to assist sites in person.
9. Develop in collaboration with the HFI QA/TA Committee a technical assistance plan that includes allocation of technical assistance based upon the site-identified needs, information gathered about the sites through the quality assurance system, training, and evaluation.
10. Ensure other TA visits are available based on feedback from the QA team and trainers, request of DCS, information gleaned from quarterly reports, and evaluation results.
11. Ensure TA is provided including responses to individual questions, individualized training based upon the specific needs of sites, requests from a site, and/or information gathered from the multi-site system. Technical assistance can be provided through site visits, telephone calls, and emails.
12. Expect the TA contractor to respond to TA requests within 5 working days.

#### Documentation requirements

1. Ensure documentation of quality assurance reviews matches requirements of the QA plan.

#### The Local HFI Site will:

##### Process steps

1. Contribute to state/multi-site policy as requested by DCS, HFI Central Administration, and the HFI Leadership and Policy Committees.
2. Ensure staff receive the required HFA CORE trainings as appropriate to their job assignments.
3. Provide orientation, stop gap, wrap around (ongoing), and individual assessment tool trainings for their staff as required and requested by the HFI Central Administration.

4. Assist with the annual quality assurance review including any survey responses following the site visit.
5. Provide input to the HFI Central Administration on the QA plan as requested.
6. Request technical assistance as needed/identified. TA is available as long as funding allows. If funding does not allow all requested visits, the requests are prioritized based on the quality assurance review results with sites identified as out of compliance given priority.
7. Contribute to requests for input on technical assistance including notifying the DCS HFI Prevention Coordinator or designee of any concerns or issues related to technical assistance.
8. Notify the DCS Prevention staff of changes in contracts or new program manager as those sites will be offered on-site TA as soon as possible.
9. Request coverage assistance from the TA contractor during periods of turnover, staff leave/time off, downsizing if needed. Priority for this assistance is prioritized based on service delivery (home visiting & assessments then supervision and management).

#### Documentation/Reporting requirements

1. During orientation, document that staff has received and reviewed the multi-site policies.
2. Track their staff's participation in training using the training tracking system developed by the HFI Central Administration. At the time of hire, sites must create an account for that staff member in the HFI database system prior to registering for any HFI provided trainings.
3. Site profiles must be updated at least twice a year as requested by HFI Central Administration.

#### RELATED INFORMATION

See the annual HFI Quality Assurance and Technical Assistance plan, and HFI Training plan.



**Healthy Families Indiana  
Statewide/Multi-Site System  
Central Administration Standards Manual**

<b>Chapter:</b> Policies	
<b>Section:</b> HFI State/Multi-Site System Central Administration Standards, P-2.6, P-2.7, P-2.8 Participant privacy and confidentiality, voluntary choice, and approval/denial of research projects	

HFI Central Administration has policies and procedures describing protection of participant privacy and confidentiality assurances for sharing data within and outside the system. HFI Central Administration has policy and procedures for reviewing and recommending approval/denial of research proposals involving past or present families and the voluntary choice for families to participate in evaluation outside of evaluation conducted by the state as required by funders.

Department of Child Services Contract References

Section 1, Duties of Contractor, T. Release of Information:

As set forth in more detail in Section 12 [Confidentiality of State Information], any data, material, and information gathered, based upon, or disclosed to the Contractor for the purpose of this Contract will not be disclosed to or discussed with any third party without the prior written approval of DCS.

The Contractor must receive prior DCS written approval to use data, material, or information obtained or disclosed pursuant to this Contract for research purposes.

Section 12. Confidentiality of State Information.

The Contractor understands and agrees that data, materials, and information disclosed to the Contractor, including, but not limited to, HFI client information received by the Contractor or its subcontractors pursuant to this Contract, may contain confidential and protected information. The Contractor covenants that data, material, and information gathered, based upon or disclosed to the Contractor for the purpose of this Contract will not be disclosed to or discussed with third parties without the prior written consent of the State.

The parties acknowledge that the services to be performed by Contractor for the State under this Contract may require or allow access to data, materials, and information containing Social Security numbers maintained by the State in its computer system or other records. In addition to the covenant made above in this section and pursuant to 10 IAC 5-3-1(4), the Contractor and the State agree to comply with the provisions of IC §4-1-10 and IC §4-1-11. If any Social Security number(s) is/are disclosed by Contractor, Contractor agrees to pay the cost of the notice of disclosure of a breach of the security of the system in addition to any other claims and expenses for which it is liable under the terms of this contract.

## Healthy Families America (HFA) References

2018-2021 State/Multi-Site System Central Administration Standards, P-2.6, 2.7, 2.8

## **PROCEDURES**

### The DCS and HFI Central Administration will:

#### Process steps

1. Maintain all participant records in locked file cabinets and password protection on electronic files containing participant information.
2. Ensure the database has procedures for passwords to be changed on a quarterly basis, for former staff to no longer have access to electronic files, and for limited access to participant files based on need to know protocol.
3. Database safeguarding must include password protection on screensavers (using only a password on Windows or network start-up is not adequate).
4. Ensure that the informed consent that HFI participants read and sign indicating that their information is collected and maintained by the local site to be reported by the State to funders as required.
5. Receive and review all research projects. Projects other than the HFI Evaluation Plan and MIECHV reporting must include the investigator(s)' name, contact information, and description of research experience. The HFI Evaluation Plan and MIECHV reporting are conducted with the assistance from state contractors already known to the HFI Central Administration or DCS.
6. Request that the HFI Evaluation Work Group (EWG) review and recommend approval or denial of all research projects outside of MIECHV reporting. Requests will be reviewed within one month of submission to the EWG.
7. Require all research projects not initiated by the state but approved by the EWG complete the Application for Child Abuse Research State Form 116 with the understanding that the review time may be up to two months. DCS staff will manage this process from the time the application is received, to the review of the research project by the DCS Data Review Committee, to the final approval by the Director of DCS if applicable.
8. Have DCS contact the investigator of the research as well as HFA National Office via the Implementation Specialist.

### The Local HFI Site will:

#### Process steps

1. Ensure staff have access to file cabinets that lock and access to computers that are password protected as part of their site's confidentiality policy and practice.
2. Contact the database contractor as soon as a staff member no longer needs access to the database in order to remove that individual's access.
3. Notify DCS Prevention staff and the Central Administration if their site has been requested to be involved in research or provide data for an outside entity. All research requests must be reviewed by DCS and the HFI Central Administration using the above process. If the data have been approved for public use, then sites

will be allowed to share. If the data are not approved for public use, approval must be obtained from the HFI Evaluation Work Group and DCS.

#### Documentation/Reporting requirements

1. Complete the Application for Child Abuse Research State Form 116, <https://www.in.gov/dcs/2328.htm>

### **PRACTICE GUIDANCE**

Per the 2018-19 HFI Evaluation plan:

#### Protection of Confidential Data

All client data are treated as confidential. Within the online data collection system, a tiered password system is used. Staff can only access data regarding families to which they are assigned. Supervisors can only access data regarding staff and their families to whom they are assigned. A timeout procedure ensures that no client data form or report can be open without consistent work being done for more than 15 minutes.

All reports and evaluations are given in aggregate data. No individual family is ever identified in the work of the evaluator. The work of the evaluator is overseen by Sterling Institutional Review Board. All employees of the database company sign confidentiality statements and every security measure available is taken.

Data sent to the state for purposes of billing and evaluation are encrypted during the send. Only specific staff at the state/DCS can unencrypt the data. These data are also used to match against the state's child abuse and neglect data system for purposes of reporting. These reports are given in aggregate only.

Please Note: Whenever appropriate, approval from Institutional Review Boards (IRB) must be obtained and documentation of review and approval should be included in the submission to DCS and HFI Central Administration for review.



**Healthy Families Indiana  
Statewide/Multi-Site System  
Central Administration Standards Manual**

**Chapter:** Policies

**Section:** HFI State/Multi-Site System Central Administration Standards,  
P-2.9 Background checks for central administration contractors

The HFI Central Administration has a policy and procedures regarding background checks for DCS staff and contractors who have access to children and families and/or to their identified data. The state of Indiana does not currently have a policy on required reference checks but reference checks are recommended by the State Personnel Department as part of the hiring process. All contractors will be required to do both the contractual required criminal and background checks per the DCS contract as well as reference checks per the HFA standard.

Department of Child Services Contract References  
Section 53. Criminal and Background Checks.

A. This Section applies to all directors, chief executive officers, facility managers, licensing applicants and other heads of agencies, by whatever title, and each employee or volunteer (including interns) of the Contractor or any Subcontractor, who has or will have electronic or physical access to children's records or direct contact with children on a regular and continuing basis or any contact when a child(ren) is alone or only with the Provider's staff in connection with performance of any services or activities pursuant to this Contract ("Covered Personnel"). To the extent applicable, the Contractor (referred to in this Section as "Provider") shall conduct all criminal history and background checks required by law, this Contract, and the applicable DCS' policies, including those implemented by Administrative Letter. All required checks must be completed and all outstanding issues resolved prior to the Provider submitting this Contract for State signature. The checks will be conducted in the same manner as required for licensed residential child caring institutions, with respect to IC 31-27-3-3, subsections (e)(1) and (f), and the Provider shall maintain records of information it gathers and receives on Covered Personnel checked pursuant to this Section. The applicable laws and DCS' policies and practices are updated periodically, and the Provider shall comply with those current as of the time the Provider executes this Contract, adds Covered Personnel, renews this Contract, or reaches the anniversary date of commencement of a multi-year agreement. Upon request, DCS will furnish the Provider with information on updates and any changes in policy or procedure. The current procedure requires the Provider to conduct the following checks:

- (1) For those with direct contact with a child(ren) on a regular and continuing basis or any contact when a child(ren) is alone or only with the Provider's staff in connection with performance of any services or activities pursuant to this Contract:



- (a) Verify the identity of all individuals subject to criminal and background checks by viewing a current government issued picture I.D.;
  - (b) Conduct Child Protection Services (“CPS”) checks for all states of residency in the past five (5) years (for Indiana, send DCS an Indiana Request for a Child Protection Services History Check; for other states, see DCS' website on child welfare policies and contractor policies for web links to CPS records);
  - (c) Conduct National Sex Offender Registry checks for all states of residency in the past five (5) years (see DCS' website for web links for national sex offender registry checks);
  - (d) Conduct Local Law Enforcement checks with law enforcement agencies that would have responded to each residential address in the last five (5) years;
  - (e) Register and make appointment(s) for Fingerprint-Based National and State Checks through the State approved fingerprint vendor and follow through with obtaining fingerprints. The Provider must confirm that their name is available as a valid provider to be printed for DCS purposes on the State approved fingerprint vendors website. If the Provider cannot locate their name as a valid provider under DCS on the registration and appointment website, no additional steps can be taken until the Provider contacts DCS at COBCUinquiry@dcs.in.gov for further instructions. Employee(s) and volunteer(s) should not be printed under a local DCS office or other Provider name; and
  - (f) Review Results of Criminal and Background Checks and take appropriate action as listed in the DCS Child Welfare Policy 13.4, Evaluation of Background Checks for DCS Contractors.
- (2) For those with only electronic or physical access to children's records:
- (a) Verify the identity of all individuals subject to criminal and background checks by viewing a current government issued picture I.D.;
  - (b) Conduct Child Protection Services (“CPS”) checks for all states of residency in the past five (5) years (for Indiana, send DCS an Indiana Request for a Child Protection Services History Check; for other states, see DCS' website on child welfare policies and contractor policies for web links to CPS records);
  - (c) Conduct National Sex Offender Registry checks for all states of residency in the past five (5) years (see DCS' website for web links for national sex offender registry checks); and
  - (d) Review Results of Criminal and Background Checks and take appropriate action as listed in the DCS Child Welfare Policy 13.4, Evaluation of Background Checks for DCS Contractors.
- (3) All directors, chief executive officers, facility managers, and licensing applicants, regardless of their level of contact with children, shall have background checks commensurate with the highest level of background checks required of any other Covered Personnel within their organization. If no other Covered Personnel require background checks and no exception is

granted for an administrative contract, they shall have the checks described in this paragraph A(2).

(4) For all Covered Personnel and Subcontractors:

(a) The Provider shall require Covered Personnel to immediately notify the Provider of any information about them that would have been revealed by the checks above including substantiation for child abuse or neglect, or other similar complaints or charges, and of any convictions or arrests. The Provider shall immediately relay such notice to DCS. The Provider shall further collect from each Covered Personnel an annual attestation regarding whether that individual has any history of such substantiation, arrest, or conviction and shall include any previously unreported information to DCS in its annual Certification (such Certification is included in Exhibit 1, which is attached hereto and hereby incorporated by reference).

(b) The Provider shall ensure all subcontractors have the required background checks. Each subcontractor must contact the DCS Central Office Background Check Unit (“COBCU”) and have the subcontractor name added to the fingerprint registration site and COBCU databases as a separate entity. The subcontractor cannot register under the name of the Provider.

(c) Each subcontractor will be responsible for coordinating with COBCU to evaluate their results and resolve any outstanding issues. The subcontractor will be responsible for retaining their own background check results in their own personnel files but shall provide the primary Contractor with the Exhibit 1 – Certification of Completion of Required Criminal and Background Checks.

(5) Except for A(4)(a) above, the required checks must be performed every four (4) years based on the anniversary of the individual Covered Personnel’s initial checks.

B. The Provider shall be responsible for assessing job responsibilities and categorizing Covered Personnel as subject to A(1), A(2), or as not-covered and for performing the appropriate checks. Any Covered Personnel who might serve as a substitute for a covered position, even in emergency circumstances, should undergo the checks required for that covered position.

C. The Provider shall maintain a record of the results of each check conducted pursuant to this Section. The Provider shall, if requested by the State, provide a copy of that record to DCS or make the record available for inspection by an authorized representative of DCS.

D. With respect to any current Covered Personnel, the Provider shall submit the form attached hereto as Exhibit 1 (or a similar form as updated by DCS) at the time it submits this Contract to the State for signature or within thirty (30) days after the effective date of this Contract, whichever is earlier, and annually upon the anniversary of the effective date of the Contract. Exhibit 1 will certify that the requirements under paragraph A of this Section have been completed. The Provider shall furnish any other documentation related to background checks as DCS requests. The Provider has an ongoing obligation to assess job responsibilities and to conduct appropriate checks for employees or volunteers who join the Provider after this

Contract begins. Such staff may not provide any services that involve contact with children before the requisite checks have been completed and all outstanding issues resolved.

E. In order to allow DCS to evaluate the results and to make determinations regarding qualifications, national fingerprint-based criminal history checks relating to Covered Personnel are required to be conducted through DCS' approved fingerprint vendor in accordance with the terms and conditions stated in IC §§ 10-13-3-38.5, 39. The results of the national fingerprint-based criminal history checks will be returned to DCS as an authorized entity to receive the results. DCS will inform the Provider whether the report it receives concerning the subject of a check shows any record that would be grounds for denial of his or her ability to provide services and perform activities pursuant to this Contract. If any Covered Personnel receive a response of conditionally disqualified or disqualified, further follow up is required. If the result is disqualified, then the individual may be eligible for a waiver. The Provider should contact the DCS' background check unit to determine if the individual is eligible and to apply for the waiver. DCS will not release to the Provider any criminal history record information ("CHRI") contained in any report that it receives from the Federal Bureau of Investigation ("FBI") through the Indiana State Police ("ISP"). If the Provider requests a waiver of criminal history, DCS will inform the Provider of the decision on the waiver request.

F. In the event a criminal history or background check required herein produces any record concerning the subject of a check that would be a ground for denial of his or her ability to provide services and perform activities pursuant to this Contract and the Provider chooses to retain such employee or volunteer, that decision may be considered a material breach of this Contract.

G. The Provider will be responsible for payment of all fees required to be paid for conducting any check required under this Section, whether the check is conducted by the Provider or by DCS. Any fees paid by DCS on behalf of the Provider may be offset against any claim for payment submitted by the Provider under this Contract.

H. Upon request, DCS will assist the Provider in clarifying the requirements of this Section.

#### Healthy Families America (HFA) References

2018-2021 State/Multi-Site System Central Administration Standards, P-2.9

### **PROCEDURES**

For all contractors including the Central Administration contractors and individual HFI service providers, the DCS will:

#### Process steps

1. Ensure the required criminal and background checks will be completed on all staff prior to the staff member having contact with children and family as well as access to client data per DCS contract requirements.
2. Have the contractors submit all required documentation to the DCS Background Check Unit prior to the start of the contract and submit the annual attestation certification as described in the contract.

3. Communicate subsequent changes to the required DCS contractual background check policy to the central administration contractors as well as local sites as those changes are released by DCS.
4. Develop a process which ensures positions are posted, use of standardized interview questions, and two reference checks are completed with all central administration personnel and contractor staff.

## **PRACTICE GUIDANCE**

DCS will be responsible for ensuring their contractors have completed the background checks using the specific documents identified in their contract. These documents may be reviewed during the annual quality assurance visit.

## **ADDITIONAL RESOURCES**

Department of Child Services Web site with information on Child Protection Index Checks, <https://www.in.gov/dcs/3928.htm>

Department of Child Services policy, Chapter 13.3 Conducting background checks for DCS contractors  
[https://www.in.gov/dcs/files/13.3%20Conducting\\_Background\\_Checks\\_for\\_DCS\\_Contractors.pdf](https://www.in.gov/dcs/files/13.3%20Conducting_Background_Checks_for_DCS_Contractors.pdf)

Department of Child Services policy, Chapter 13.4 Evaluating background checks for DCS contractors  
<https://www.in.gov/dcs/files/13.04%20Evaluation%20of%20Background%20Checks%20for%20DCS%20Contractors.pdf>



**Healthy Families Indiana  
Statewide/Multi-Site System  
Central Administration Standards Manual**

<b>Chapter:</b> Policies	
<b>Section:</b> HFI State/Multi-Site System Central Administration Standards, P-3 Establishing and revoking affiliation with HFI system	

**POLICY**

There is policy for establishing and revoking affiliation with the HFI system. The process can be initiated at the site or the HFI Central Administration level.

Department of Child Services Contract References

Section 1. Duties of Contractor, E (2)

The Contractor hereby agrees to: maintain its status as an accredited affiliate of Prevent Child Abuse America/Healthy Families America (“PCAA/HFA”);

Section 44. Termination for Convenience.

This Contract may be terminated, in whole or in part, by the State, which shall include and is not limited to the Indiana Department of Administration and the State Budget Agency whenever, for any reason, the State determines that such termination is in its best interest. Termination of services shall be effected by delivery to the Contractor of a Termination Notice at least thirty (30) days prior to the termination effective date, specifying the extent to which performance of services under such termination becomes effective. The Contractor shall be compensated for services properly rendered prior to the effective date of termination. The State will not be liable for services performed after the effective date of termination. The Contractor shall be compensated for services herein provided but in no case shall total payment made to the Contractor exceed the original contract price or shall any price increase be allowed on individual line items if canceled only in part prior to the original termination date. For the purposes of this paragraph, the parties stipulate and agree that the Indiana Department of Administration shall be deemed to be a party to this agreement with authority to terminate the same for convenience when such termination is determined by the Commissioner of IDOA to be in the best interests of the State.

Section 13. Continuity of Services. [Modified]

- A. The Contractor recognizes that the service(s) to be performed under this Contract are vital to the State and must be continued without interruption and that, upon Contract expiration and/or termination, a successor, either the State or another contractor, may continue them. The Contractor agrees to:
  - (1) Furnish phase-in training; and

- (2) Exercise its best efforts and cooperation to effect an orderly and efficient transition to a successor.
- B. The Contractor shall, upon the State's written notice:
- (1) Furnish phase-in, phase-out services for up to two (2) months after this Contract expires and/or is terminated; and
  - (2) Negotiate in good faith a plan with a successor to determine the nature and extent of phase-in, phase-out services required. The plan shall specify a training program and a date for transferring responsibilities for each division of work described in the plan, and shall be subject to the State's approval. The Contractor shall provide sufficient experienced personnel during the phase-in, phase-out period to ensure that the services called for by this Contract are maintained at the required level of proficiency.
- C. The Contractor shall allow as many personnel as practicable to remain on the job to help the successor maintain the continuity and consistency of the services required by this Contract. The Contractor also shall disclose necessary personnel records and allow the successor to conduct on-site interviews with these employees. If selected employees are agreeable to the change, the Contractor shall release them at a mutually agreeable date and negotiate transfer of their earned fringe benefits to the successor.
- D. The Contractor shall be reimbursed for all reasonable phase-in, phase-out costs (i.e., costs incurred within the agreed period after contract expiration and/or termination that result from phase-in, phase-out operations).

Healthy Families America (HFA) References

2018-2021 State/Multi-Site System Central Administration Standards, P-3

**PROCEDURES**

The DCS will:

Process steps

1. Develop the Request for Proposal (RFP) and communicate with the HFI sites as to when the RFP documents are available and post the information along with the deadlines for the application on the DCS Web site under Current Request for Proposals.
2. Develop the HFI contract, approve the final funding amount, and send through email or electronic means the contract to the local HFI sites to be signed. Once the contract is signed by the local HFI site, DCS will submit the contract for the necessary state signatures.
3. Identify local sites and/or potential applicants who may request the need for additional training and technical assistance to meet the HFA standards and HFI policy. DCS will work with HFA and/or the Technical Assistance contractor to provide the needed assistance and may develop a contract with a potential local provider even if the provider does not receive funding from DCS.

4. In consultation with HFI Central Administration, notify HFI sites that are not in compliance either contractually or not adhering to HFA best practice standards who are at risk for being dis-affiliated.

#### Documentation requirements

1. Submit an application for Multi-site accreditation to HFA every five years with a description of all sites under the state/multi-site system.
2. Notify the HFA National of affiliation and dis-affiliation of sites and as changes occur within three (3) months of occurrence.
3. Provide site level quality assurance letters from QA contractor annually and from DCS if termination of contract.

#### The Local HFI Site will:

##### Process steps

1. Complete the DCS RFP application process or request a waiver from funding. All HFI sites must be part of the HFI multi-site system and must be affiliated with HFA as well as pay their annual affiliation fees.
2. Sign the DCS contract(s) as evidence that the sites have communicated about the affiliation with HFA and agree to the HFI and DCS requirements.
3. Request a waiver from the RFP if the site is not funded through DCS but must meet the same requirements as DCS funded sites. It is possible for a local HFI site to be affiliated with the HFI multi-site system without receiving DCS funding. A site that is not funded by DCS still must meet all of the multi-site system requirements as other DCS funded sites.
4. Comply with all first order standards and at least 85% of all applicable second and third order standards of HFA, as well as all HFI policies unless DCS grants a waiver. This will be measured through the annual QA visit and will follow the policy and process as defined in P 2.2 of the HFI Multi site policies.
5. Work with the Technical Assistance contractor or other entities in the development of a corrective plan of action if the site is out of compliance with accreditation standards. Revocation of affiliation can result from non-compliance with accreditation standards, HFI policies, and/or loss of DCS contract(s).

##### Documentation/Reporting requirements

1. Report to DCS staff if site no longer will provide HFI services. This can be done at the time of contract ending and/or RFP process. If ending services prior to the end of a contract, the site must provide continuity of services up to two (2) months after the contract is terminated.

#### **RELATED INFORMATION**

All programs not currently part of the HFI sites who are seeking affiliation with HFI state/multi-site system will complete the DCS RFP or request a waiver, as well as meet all eligibility criteria considered for Healthy Families Indiana affiliation, defined by HFA standards and HFI policy. Prior to the DCS RFP process, training and technical assistance can be requested to meet these

standards as well as quality assurance planning to address the process of becoming affiliated with HFI state/multi-site system.

DCS Web site for Current Request for Proposals, <http://www.in.gov/dcs/3151.htm>





**Healthy Families Indiana  
Statewide/Multi-Site System  
Central Administration Policy and Procedure Manual**

**Chapter:** Policies

**Section:** HFI State/Multi-Site System Central Administration Standards,  
P-4 Conflict resolution/appeals process

**POLICY**

The HFI Central Administration has policies and procedures indicating how sites report grievances (wrongs considered as grounds for complaint) they might have with the central administration, and includes an appeals process.

Department of Child Services Contract References

Section 16. Disputes.

- A. Should any disputes arise with respect to this Contract, the Contractor and the State agree to act immediately to resolve such disputes. Time is of the essence in the resolution of disputes.
  
- B. The Contractor agrees that, the existence of a dispute notwithstanding, it will continue without delay to carry out all of its responsibilities under this Contract that are not affected by the dispute. Should the Contractor fail to continue to perform its responsibilities regarding all non-disputed work, without delay, any additional costs incurred by the State or the Contractor as a result of such failure to proceed shall be borne by the Contractor, and the Contractor shall make no claim against the State for such costs.
  
- C. If the parties are unable to resolve a contract dispute between them after good faith attempts to do so, a dissatisfied party shall submit the dispute to the Commissioner of the Indiana Department of Administration for resolution. The dissatisfied party shall give written notice to the Commissioner and the other party. The notice shall include (1) a description of the disputed issues, (2) the efforts made to resolve the dispute, and (3) a proposed resolution. The Commissioner shall promptly issue a Notice setting out documents and materials to be submitted to the Commissioner in order to resolve the dispute; the Notice may also afford the parties the opportunity to make presentations and enter into further negotiations. Within thirty (30) business days of the conclusion of the final presentations, the Commissioner shall issue a written decision and furnish it to both parties. The Commissioner's decision shall be the final and conclusive administrative decision unless either party serves on the Commissioner and the other party, within ten (10) business days after receipt of the Commissioner's decision, a written request for reconsideration and modification of the written decision. If the Commissioner does not modify the written decision within thirty (30) business days, either party may take such other action helpful to resolving the dispute, including submitting the dispute to an Indiana court of

competent jurisdiction. If the parties accept the Commissioner's decision, it may be memorialized as a written Amendment to this Contract if appropriate.

D. The State may withhold payments on disputed items pending resolution of the dispute. Upon resolution of the dispute pursuant to paragraph C of this Section, all payments shall be made within thirty-five (35) calendar days. The unintentional nonpayment by the State to the Contractor of one (1) or more invoices not in dispute in accordance with the terms of this Contract will not be cause for the Contractor to terminate this Contract, and the Contractor may bring suit to collect these amounts without following the disputes procedure contained herein.

E. With the written approval of the Commissioner of the Indiana Department of Administration, the parties may agree to forego the process described in subdivision C. relating to submission of the dispute to the Commissioner.

F. This paragraph shall not be construed to abrogate provisions of Ind. Code 4-6-2-11 in situations where dispute resolution efforts lead to a compromise of claims in favor of the State as described in that statute. In particular, releases or settlement agreements involving releases of legal claims or potential legal claims of the state should be processed consistent with Ind. Code 4-6-2-11, which requires approval of the Governor and Attorney General.

#### Healthy Families America (HFA) Reference

2018-2021 State/Multi-Site System Central Administration Standards, P - 4

#### The DCS will:

##### Process steps

1. Review all complaints submitted by the HFI local sites' program managers to include an acknowledgement within 3 business days with follow up questions if necessary.
2. Define the complaint based on information submitted by the HFI local site.
3. Conduct research to form a response to the complaint utilizing if necessary the training, quality assurance, database contractors and HFI Leadership Committee and respond within 15 business days of the complaint being filed.
4. Develop an action plan for resolving complaints from sites and/or families within 30 days of receipt.
5. Work with the quality assurance contractor and HFI QA Committee on issues related to HFA/HFI policies and procedures.
6. Request that the technical assistance contractor provide assistance to the HFI local site as requested/needed by the site as part of the response/action plan.

##### Documentation requirements

1. Document all complaints.

#### The Local HFI Site will:

##### Process steps

1. Submit complaints about policies, procedures, contractor(s), and DCS personnel through the site's program manager to the DCS Prevention Services Manager or Deputy Director of Child Welfare Services via email. If front line staff has a

complaint, they must talk to their supervisor/program manager first. Staff member's complaints must be addressed by the local site/agency according to their local policies.

2. Submit complaints regarding policies, practices, and/or service delivery from families being served to DCS Prevention staff after following local procedures.
3. File all complaints within 30 days of the incident.
4. Follow the DCS contract, "If the parties are unable to resolve a contract dispute between them after good faith attempts to do so, a dissatisfied party shall submit the dispute to the Commissioner of the Indiana Department of Administration for resolution."

#### Documentation/Reporting requirements

1. Retain all documentation of complaints submitted to DCS along with specific response/action plan included in the response.

### **PRACTICE GUIDANCE**

Families being served and/or HFI staff who have complaints about their local program must follow the site level grievance procedure before the program manager/supervisor brings the complaint to DCS.



**Healthy Families Indiana  
Statewide/Multi-Site System  
Central Administration Policy and Procedure Manual**

**Chapter:** Policy

**Section:** HFI State/Multi-Site System Central Administration Standards,  
P-5 Communicating critical incidents to HFA

**POLICY**

The HFI Central Administration has policy requiring sites to communicate critical incidents within twenty-four (24) hours of knowledge of the incident to the DCS Prevention staff. Critical incidents include:

- child (target child and/or siblings) or parent/caregiver death (including non-custodial parent) or serious abuse incidents,
- litigation pertaining to Healthy Families work/services against staff or the agency,
- any misuse of funds, including false documentation of home visits and assessments.

In addition, the HFI Central Administration through DCS notifies the Healthy Families America National Office immediately if any of the above critical incidents escalate to state and/or national level attention in order to address any communication needs.

Healthy Families America (HFA) References

2018-2021 State/Multi-Site System Central Administration Standards, P-5

**PROCEDURES**

The DCS will:

Process steps

1. Review all critical incidents. Feedback may be given to the site regarding interventions and documentation. DCS staff or designated consultants may contact the site to get additional information. Sites are expected to respond.
2. Notify the HFA National Office immediately of all critical incidents described above if the incident escalates to state and/or national level attention using the designated HFA form.
3. Work with HFA National Office on the public relations response.

The Local HFI Site will:

Process steps

1. Require a home visitor or assessment worker’s supervisor is notified immediately of any critical incident listed above. The supervisor immediately notifies the program manager, who notifies other appropriate staff/supervisors within the program as needed and the DCS staff within 24 hours of knowledge of critical incident. This notification should reach DCS via email and can be encrypted per the provider’s site policies.

2. Offer grief counseling by program/agency clinicians, employee assistance programs, faith based community partners, as available to the program.
3. Have an internal critical incident review system. This review will be done by the manager or other agency management staff. The incident will be reviewed for timelines, appropriateness of interventions, and quality of documentation.

#### Documentation/Reporting requirements

1. Critical incidents are documented in database under “Incident Reports”.

### **FORMS & TOOLS**

HFI Central Administration through DCS notifies the National Office immediately if any of the above critical incidents escalate to state and/or national level attention using the form below.

<https://app.box.com/s/0ql2eaart4oq0rsmlyxsnceabawmgl3t>