

	<b>INDIANA DEPARTMENT OF CHILD SERVICES</b> <b>CHILD WELFARE POLICY</b>	
	<b>Chapter 17:</b> Residential Licensing <b>Section 14:</b> Institutional Reports	
	<b>Effective Date:</b> July 1, 2022	<b>Version:</b> 1

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## POLICY OVERVIEW

*For the investigation of institutional reports to determine if Child Abuse and/or Neglect (CA/N) of a child occurred, see policy 4.30 Conducting Institutional Investigations by the Institutional Child Protection Services (ICPS) Unit.*

All institutional reports concerning an Indiana Department of Child Services (DCS) licensed residential facility are reviewed by the DCS Residential Licensing Unit (RLU) to determine possible licensing and contractual noncompliance within the facility.

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## PROCEDURE

The DCS RLU receives each Preliminary Report of Alleged Institutional Child Abuse or Neglect (310A) that is associated with a DCS licensed residential facility, including any report that is screened out. See Practice Guidance for additional information regarding the differences in roles between the RLU and the Institutional Child Protection Services (ICPS) Unit.

Upon receipt of a 310A, the Licensing Specialist will:

1. Review the 310A to determine for possible licensing noncompliance (e.g., staff actions that result in injury to a child, environmental safety risks, staffing ratios);
2. Discuss with the Licensing Supervisor, as necessary;
3. Contact the ICPS Family Case Manager (FCM), if the 310A is screened in, to determine the status of the investigation;

**Note:** For screened in investigations, the Licensing Specialist and the ICPS FCM work together. For screened out reports, the Licensing Specialist works independently.

4. Request additional information from the facility (i.e., documentation specific to the incident), if applicable;
5. Discuss the 310A and any information gathered by the Licensing Specialist, including information gathered during an investigation of child abuse and/or neglect (CA/N) by the ICPS FCM, if appropriate, with the Licensing Supervisor to determine next steps;
6. Staff the 310A and any information gathered by the Licensing Specialist with the DCS legal team, Residential Clinical Consultant, Licensing Supervisor, and/or the RLU Manager, as necessary, to make a final determination;
7. Inform the facility of the RLU findings and steps to be taken by the facility, if applicable. See policy 17.13 Review for Licensing Action for additional guidance; and
8. Document all information gathered and actions taken in the case management system.

Upon receipt of a 310A, the Licensing Supervisor will:

1. Review the 310A with the Licensing Specialist and provide guidance throughout the investigation, as needed; and
2. Staff the 310A and any information gathered by the Licensing Specialist with the DCS legal team, RLU Clinical Services Specialist (CSS), and/or the RLU Manager to make a final determination, as needed.

The DCS legal team, CSS, and/or the RLU Manager will staff with the Licensing Specialist to provide additional guidance, as needed.

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## RELEVANT INFORMATION

### Definitions

N/A

### Forms and Tools

- [Preliminary Report of Alleged Institutional Child Abuse or Neglect \(310A\) \(SF 49549\)](#)

### Related Policies

- [4.30 Conducting Institutional Investigations by the ICPS Unit](#)

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## LEGAL REFERENCES

- [IC 31-27-2-6: Investigation of complaints](#)
- [IC 31-27-3-29: Investigations of noncompliance; injunction, corrective action plans, removal of children, informal meetings](#)

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## PRACTICE GUIDANCE – DCS POLICY 17.14

*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.*

### **Roles of RLU and ICPS**

The roles of the RLU and the ICPS Unit are different. The RLU determines if a licensing or noncompliance issue has occurred; while the ICPS Unit determines if CA/N has occurred. Even when an ICPS report is screened out or the assessment is unsubstantiated, the RLU remains responsible for assessing the evidence specific to the facility's license and/or noncompliance with their contract.

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