Welcome!

Provider Information Exchange

Licensing Webinar

July 18th, 2014
The Department of Children and Families (DCF) has created the Provider Information Exchange (PIE) for sharing electronic documents and files between state program staff and your facility’s staff.

Information exchanged is associated with the Caregiver Background Checks on facility staff. In addition, it will now be utilized for the submission of license continuation materials.

PIE is a secure venue for sharing data between DCF and private providers.
Sixty days prior to the end of the probationary license or the continuation of a regular license, the Licensing Assistant will email the facility’s PIE Lead notifying them that their continuation materials are ready to be viewed within the Licensing folder in PIE.

All materials need to be uploaded into PIE within 30 days of the license continuation date. This date will be specified in the email to the PIE Lead.

The Email sent to the PIE Lead will be the only notification from the Department regarding continuation of the facility license.

Each facility should have at least one individual designated to have access to the Licensing Folder.

Licensing Fees and Caregiver Background Check Fees are required to be sent in the mail.
When logging into PIE, providers will see two folders displayed:

- Caregiver Background Checks
- Licensing

In order to access Licensing materials, click on the Licensing Folder. This will prompt you with three separate folder options:

- Completed Forms
- Forms to Fill Out
- Resources
In the “Forms to Fill Out” folder, you will find the required forms that need to be filled out and uploaded in order to continue the facility license.

For all facilities this folder includes:
- License Continuation Process
- License Continuation Application
- Background Information Disclosure (BID)
- Licensing Checklist
- Policy and Procedure Checklist
Date

☐ Application and Fee Payment for Obtaining A Regular 2-Year License   ☐ License Continuation Process

To:  Licensee:  Facility ID Number:
     Facility Name:  Facility Type:
     Facility Address:  Licensor:
     County:

From:  Emily Tofte, Child Welfare Licensing Section Manager
Division of Safety and Permanence
Bureau of Permanence and Out-of-Home Care

In order to ☐ obtain a regular 2-year license or ☐ maintain your current license, please follow the directions on the CONTINUATION PROCEDURE sheet.

☐ Probationary License Expiration Date:  ☐ License Continuation Date:
☐ Application Materials and Fee(s) Due Date:  ☐ Continuation Materials and Fee(s) Due Date:

**REQUIREMENT:** Application / continuation materials and fee(s) are due **30 days** prior to the probationary license expiration date / license continuation date. Background Information Disclosure Forms and fees are due to obtain a regular 2-year license and at each license continuation.

All continuation applications and supporting materials must be submitted via the Provider Information Exchange (PIE).

All fee payments must be mailed to the Department at the address specified below.

Based on your present capacity of [___], your license fee is $[___].

License Fee: $[___]
Caregiver Background Check Fee ($10.00 per person): $[___]
Total Amount of the Check or Money Order: $[___]

A late fee of $5.00 per day, as of [___], will be assessed for every day that the Department has not received your full license continuation materials and fee(s) payment.

Payment in the form of a check or money order should be made payable to the “Department of Children and Families.” Payments must be mailed to the following:

Child Welfare Licensing
DCF/DSP – E200
P.O. Box 8916
Madison, WI 53708-8916

PLEASE RETURN THIS PAGE WITH YOUR CHECK.
**This example only shows the first and last page of the Application**
Licensing Checklist – Group Homes  
DCF 57

**Use of form:** Completion of this form by group home licensees is mandatory under DCF 57.49(1) and 57.51 and constitutes one portion of a complete application for a probationary license, for advancement to a regular two year license from probationary status, or for continuation of a regular two year license to operate a group home. Licensing specialists use this form to review a group home’s compliance with ch. DCF 57. Personal information you provide may be used for secondary purposes [Privacy Law, s. 15.04(1)(m), Wisconsin Statutes].

**Instructions:** The applicant completes the “Applicant” column and submits the completed form to the Department of Children and Families along with any other materials necessary for obtaining or continuing the group home license. The licensing specialist completes the “Licensing Specialist” column during the subsequent monitoring visit(s).

<table>
<thead>
<tr>
<th>Name – Facility</th>
<th>Telephone Number – Facility</th>
<th>Facility ID Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address – Facility (Street, City, Zip Code)</td>
<td></td>
<td>License Continuation Date (mm/dd/yyyy)</td>
</tr>
<tr>
<td>Name – Program Director</td>
<td>Name – Group Home Manager</td>
<td>Ages Accepted</td>
</tr>
</tbody>
</table>

**FOR DEPARTMENT USE ONLY**

<table>
<thead>
<tr>
<th>Code Section</th>
<th>Page No.</th>
<th>Date Reviewed</th>
<th>Code Section</th>
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<tbody>
<tr>
<td>57.015</td>
<td>Compliance with administrative rule and law</td>
<td>1</td>
<td>57.36</td>
<td>Custodial parents and expectant mothers</td>
<td>26</td>
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<tr>
<td>57.045; .05</td>
<td>Inspections; Group home program and policies</td>
<td>1</td>
<td>57.37</td>
<td>Children 6 years of age or younger</td>
<td>27</td>
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<tr>
<td>57.05(2)(p)</td>
<td>Documentation for each shift of resident care workers</td>
<td>2</td>
<td>57.38</td>
<td>Resident records</td>
<td>29</td>
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<tr>
<td>57.06</td>
<td>Emergency planning and preparation</td>
<td>3</td>
<td>57.39</td>
<td>Confidentiality</td>
<td>30</td>
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<tr>
<td>57.06(5)</td>
<td>Disaster Plan</td>
<td>3</td>
<td>57.40</td>
<td>Physical plant and environment</td>
<td>30</td>
</tr>
<tr>
<td>57.07 - .09</td>
<td>Rates and bookkeeping; Insurance; Weapons</td>
<td>4</td>
<td>57.41; .42</td>
<td>General safety precautions; Fire safety</td>
<td>33</td>
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<tr>
<td>57.10 - .12</td>
<td>Pets and animals; Telephone; Transportation</td>
<td>4</td>
<td>57.425</td>
<td>Carbon Monoxide Detector</td>
<td>34</td>
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<tr>
<td>57.13</td>
<td>Licensee reporting requirements to the department</td>
<td>5</td>
<td>57.43</td>
<td>Furnishings and appliances</td>
<td>34</td>
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<tr>
<td>57.135</td>
<td>Responsibility to placing agencies</td>
<td>7</td>
<td>57.44 - .46</td>
<td>Sanitation; Location; Other licenses and uses</td>
<td>35</td>
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<tr>
<td>57.14</td>
<td>Personnel requirements</td>
<td>8</td>
<td>57.47</td>
<td>Group home capacity limits</td>
<td>35</td>
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<tr>
<td>57.15</td>
<td>Hiring and employment</td>
<td>9</td>
<td>57.48</td>
<td>General conditions for approval of application</td>
<td>35</td>
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<tr>
<td>57.16; .17</td>
<td>Training; Personnel policies and records</td>
<td>10</td>
<td>57.51</td>
<td>Probationary and regular license</td>
<td>35</td>
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<tr>
<td>57.18</td>
<td>Staff member and volunteer responsibilities</td>
<td>12</td>
<td>57.515; .53</td>
<td>License provisions; Transferability</td>
<td>36</td>
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<tr>
<td>57.19</td>
<td>Admissions</td>
<td>12</td>
<td>57.60</td>
<td>Rate Regulation</td>
<td>36</td>
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<tr>
<td>57.20; .205</td>
<td>Discharge; Principles for nurturing care</td>
<td>14</td>
<td></td>
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<tr>
<td>57.21</td>
<td>Staff to resident ratios and supervision</td>
<td>14</td>
<td></td>
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<tr>
<td>57.22; .23</td>
<td>Resident activities; Treatment plan &amp; assessment</td>
<td>15</td>
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<tr>
<td>57.24; .25</td>
<td>Resident rights; Medical care</td>
<td>17</td>
<td></td>
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<tr>
<td>57.28 - .30</td>
<td>Clothing; Hygiene; Household duties</td>
<td>24</td>
<td></td>
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<tr>
<td>57.305; .31</td>
<td>Spending money; Food and nutrition</td>
<td>24</td>
<td></td>
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<tr>
<td>57.32; .33</td>
<td>Education; Sleeping arrangements</td>
<td>25</td>
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**Date(s) – Monitoring Visit**

**Notes:**

DCF-F-CFS0358-E (R. 04/2012)

**This example only shows the first page of the checklist**
Policy / Procedure Checklist – Residential Care Centers

**Use of form:** Use of this form is voluntary; however, completion of this form by residential care centers for children and youth will help ensure that all written policies and procedures required under DCF 52 have been developed for the following categories. Policies and procedures must be submitted to the department as part of a complete application. Personal information you provide may be used for secondary purposes [Privacy Law, s. 15.04(1)(m), Wisconsin Statutes].

**Instructions:** Whenever policies are created or updated, a dated copy should be sent to your licensing specialist along with a completed policy checklist. Use the checklist to identify the page number on which you address each point for ease in reference and review. Policies should be dated and the pages numbered.

<table>
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### EMERGENCY PROCEDURES 52.11(21)
- Calling in extra staff [52.11(21)(a)]
- Securing assistance of law enforcement or emergency medical personnel [52.11(21)(b)]
- Alerting center staff and assigning roles and duties in response to the emergency [52.21(21)(c)]

**SIGNATURE – Licensing Specialist**

**Review Date**

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### DISASTER PLAN 52.11(22)
- Where a licensee, center staff, and residents would go in an evacuation, including one location in the nearby area and one location out of area [52.11(22)(a)(1)]
- Phone numbers, electronic mail addresses, and other contact information for the licensee [52.11(22)(a)(2)]
- A list of items that the licensee or center staff will take if evacuated, including any medication and medical equipment for residents [52.11(22)(a)(3)]
- Phone numbers the licensee will call to check in with the department and placing agency [52.11(22)(a)(4)]
- Documenting the quarterly review of disaster plan [52.11(22)(b)]

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### STAFF TRAINING – Orientation 52.12(5)(b)
- Observing and reporting resident behavior [52.12(5)(b)(5)]
- Resident rights and grievance procedures [52.12(5)(b)(6)]
- Identification and reporting of child abuse and neglect [52.12(5)(b)(7)]
- Laws on confidentiality of personally identifiable information [52.12(5)(b)(8)]
- Center procedures for reporting missing persons [52.12(5)(b)(9)]
- Fire safety and evacuation procedures [52.12(5)(b)(10)]
- Emergency medical procedures and center emergency security measures and procedures [52.12(5)(b)(11)]
- Sanitation and hygiene practices including the nature, causes, transmission and prevention of hepatitis B, HIV and (AIDS) and the legal, social and psychological aspects of those conditions [52.12(5)(b)(12)]
- The center’s educational program required under s. DCF 52.41(1)(b) to center staff responsible for resident educational services [52.12(5)(e)]

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### STAFF TRAINING – Initial training 52.12(5)(c)
- Developmental care [52.12(5)(c)(1)]
- Creating a therapeutic milieu [52.12(5)(c)(2)]
- Human sexuality [52.12(5)(c)(3)]
- Teamwork [52.12(5)(c)(4)]
- Working with groups [52.12(5)(c)(5)]
- Emergency safety intervention [52.12(5)(c)(6)]
- Family relationships and the impact of separation from the family [52.12(5)(c)(7)]
- Suicide prevention, including identification of signs and center response measures [52.12(5)(c)(8)]
- Fire safety and evacuation, with training provided by a Wisconsin vocational, technical and adult education college [52.12(5)(c)(9)]
- Sensitivity to racial and cultural differences among residents [52.12(5)(c)(10)]

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### STAFF TRAINING – Continued training 52.12(5)(f)
- Determine continuing training needs through staff performance reviews and assessments [52.12(5)(f)(1)]
- Provide or arrange for at least 24 hours of continuing training annually for every staff member working with residents [52.12(5)(f)(1)]
- A center shall provide all center food service personnel in-service training annually. Training topics shall relate to proper food handling procedures, maintenance of sanitary conditions and food service arrangements. Training shall be documented and the documentation kept on file at the center [52.44(4)(a)]

**SIGNATURE – Licensing Specialist**

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**This example only shows the first page of the checklist**
After the documents are completely filled out and ready to be uploaded, go back to the Licensing Folder and select the “Completed Forms” folder.

You will then be prompted with this screen:

Within 30 days of the license continuation date, the Licensing Assistant will check the “Completed Forms” folder to make sure all documents were submitted on time.

An application is officially received by the Department only if it is fully completed, signed, dated, and includes all supporting documentation.
In the “Resources” folder, you will find various documents that are informational regarding child welfare licensing.

The following forms are especially useful for the license continuation process:

- License Continuation Procedure
- Background Check Information Schedule
LICENSE CONTINUATION PROCEDURES – SHELTER CARE FACILITIES

1. Enclose are forms requiring completion as part of the license continuation review process:
   (a) License Application - Shelter Care Facility
   (b) Licensing Checklist - Shelter Care Facilities
   (c) Background Information Disclosure (BID) form (make copies of this form as needed)

2. Return the completed forms and the appropriate fees 30 days prior to the expiration / continuation date of the license. If the application and fee payment are not returned by the expiration / continuation date, you will be assessed a late fee of $5.00 per day and enforcement action may be taken. If the licensee is an individual or partnership, the forms should be signed by the person(s) named on the license certificate. If the licensee is a corporation, the forms should be signed by the board chair or person previously authorized by the board. The juvenile court judges of the counties in which the facility operates must countersign the application. If the licensee is a public agency, the chairperson of the county board of supervisors and the presiding juvenile court judges must sign the application.

3. Caregiver Background Checks: The Bureau of Permanence and Out-of-Home Care is required to collect Background Information Disclosure (BID) forms and conduct Caregiver Background Checks (CBC) at issuance of a regular, two-year license and every two years thereafter at license continuation for the licensee and all adult, non-client residents who are not staff. Completed BID forms and CBC fees must be submitted with your continuation materials. If the licensee is a corporation, a BID form must be completed on either the board chairperson, president, or other authorized individual. The completed BID forms are used to complete the CBCs. The CBC fees can be included on the same check or money order with your license fee. See the enclosed Background Check Information Schedule for fee information.

   Note: Wis. Admin. Code DHS 12.07(3) states that when a person begins residing at or is expected to reside at an entity, the signatory for licensure changes, the entity shall, as soon as possible, but no later than the department's next business day, report the residency, expected residency, or signatory change to the department and submit to the department a completed BID form for the new non-client resident or new signatory.

4. License Fee: The two-year license fee is $60.50 plus $18.15 for each resident the facility is licensed to serve. If you are requesting a change to your licensed capacity, use this formula to recalculate the fee due. Send a check or money order in the appropriate amount along with your completed application materials. This fee must be paid by the expiration or continuation date of your current license or you will be assessed a late fee of $5.00 per day for each day past the expiration or continuation date. Any forfeiture under s. 48.715(3)(a) or penalty under s. 48.76 that is due must be paid or the license will not be continued.

5. Total Fees Due: Make check or money order payable to the Department of Children and Families.

   $ License fee ($60.50 + ($18.15 x capacity))

   + $ Caregiver Background Check Fee

   $ Total Amount of the Check or Money Order

6. Return Completed Materials: Before uploading completed forms and all supporting documents to PIE, make sure the forms are completely filled out and signed by the proper representatives. The License Fee and Caregiver Background Check Fee payments must be mailed to the following:

   CHILD WELFARE LICENSING
   DCF/DSP – Room E200
   P.O. Box 3916
   Madison WI 53708-8916

GENERAL PROCEDURES FOR LICENSING INSPECTIONS: Under the authority of s. 48.73, Wisconsin Statutes, the department shall be granted unrestricted access to the premises for the purpose of monitoring compliance with licensing rules. Licensing specialists make unannounced inspections during the licensing period to assess various aspects of your program. If necessary, an announced visit may be made. If non-compliance is discovered during a visit, a Statement of Noncompliance (DCF-F-CFS0264-E) will be issued. After you have completed your Plan of Correction, the original white copy must be returned to the licensing specialist.
### Background Check Information Schedule

**Group Home, Shelter Care, and Residential Care Centers for Children and Youth**

The Department of Children and Families (DCF) is an equal opportunity employer and service provider. If you have a disability and need to access this information in an alternate format, or need it translated to another language, please contact (608) 266-3400 or the Wisconsin Relay Service (WRS) – 711. For civil rights questions, call (608) 422-6889 or the Wisconsin Relay Service (WRS) – 711.

#### Explanation of Abbreviations:
- **DCF**: Department of Children and Families
- **BID**: Background Information Disclosure form (please make necessary copies of this form)
- **CBC**: Caregiver Background Check
- **DOJ**: Department of Justice

<table>
<thead>
<tr>
<th>ITEMS TO BE SUBMITTED TO DCF</th>
<th>ITEMS TO BE MAINTAINED FOR YOUR LICENSING FILES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Initial Application</strong>: Submit completed BID form(s) at initial application for the individuals listed below.</td>
<td></td>
</tr>
<tr>
<td>- Licensee – i.e., owner, president of the board of directors of the corporation.</td>
<td></td>
</tr>
<tr>
<td>- All adult non-client residents who are not staff.</td>
<td></td>
</tr>
<tr>
<td>- Non-client residents age 12 through 17.</td>
<td></td>
</tr>
<tr>
<td>- NOTE: Submit a BID immediately following a change/addition of a board president or a non-client resident 12 years of age or older to the home / facility.</td>
<td></td>
</tr>
<tr>
<td><strong>License Continuation</strong>: Include $10.00 for each of the individuals listed below.</td>
<td></td>
</tr>
<tr>
<td>- Licensee – i.e., owner, president of the board of directors of the corporation.</td>
<td></td>
</tr>
<tr>
<td>- All adult non-client residents who are not staff.</td>
<td></td>
</tr>
<tr>
<td>- Non-client residents age 12 through 17.</td>
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<td></td>
</tr>
</tbody>
</table>

Incomplete BID forms will be returned to you and will delay the issuance or continuation of your license. See our web site for contact information [http://dfc.wisconsin.gov/childrenresidential/contacts.htm](http://dfc.wisconsin.gov/childrenresidential/contacts.htm).

You (licensee / owner) are responsible for conducting CBCs (which includes collecting BID forms, submitting completed *DJ-LE-250 or DJ-LE-250A forms and *fees to DOJ, and conducting any necessary investigations) for the individuals listed below.

- Administrator and employees age 18 or older, including relief help.
- Any person under contract who will have access to children in care.

Send completed Single or Multiple Records Request form (*DJ-LE-250 or DJ-LE-250A) with appropriate *fees to: Do not send the BID form(s).

- Crime Information Bureau
  - Attn: Record Check Unit
  - PO Box 2688
  - Madison WI 53701-2688

CBCs are to be completed every 4 years for the individuals listed above. Keep the most recent BID form(s) along with the DOJ results and DHS/DRL response to CBC memo on file in the center. The licensing specialist will review at a future visit.

*Forms and information may be obtained from the DOJ web site at [http://www.doj.state.wi.us/dles/cib/](http://www.doj.state.wi.us/dles/cib/) or CBCs may be completed electronically for those that have registered for an on-line account at [https://wi-recordcheck.org/account/html/logon.jsp](https://wi-recordcheck.org/account/html/logon.jsp).
PIE REMINDERS

- The PIE Lead is the only individual from the facility that can grant others access to folders within PIE.

- If the PIE Lead changes, the Licensing Assistant needs to be notified within 10 days of this change.

- All facilities must contact the Licensing Assistant to create access to the PIE Licensing Folder. This must be done in order to follow the new license continuation process.
CONTACT INFORMATION

- Central Office Contact: Email: DCFMBCWLS@wisconsin.gov

- PIE Frequently Asked Questions Website: http://DCF.wisconsin.gov/pie

- PIE Website https://share.dcf.wisconsin.gov/pie/default.aspx