



DEPARTMENT of CHILDREN and FAMILIES
Making a Difference for Children, Families and Communities



Susan Hamilton
Commissioner

M. Jodi Rell
Governor

September 22, 2009

Joseph J. Bock
Acting Associate Commissioner
Children's Bureau
Administration for Children and Families
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447

Re: State of CT Title IV-E Eligibility Review- Program Improvement Plan

Dear Mr. Bock:

In response to your letter to our Department dated June 26, 2009, we are transmitting the State of CT Title IV-E Eligibility Review Program Improvement Plan (PIP).

The Title IV-E Eligibility Review PIP start date is November 1, 2009.

Please accept my sincere appreciation for your continued attention and support throughout this process.

Sincerely,

Susan I. Hamilton, M.S.W., J.D.
Commissioner
Department of Children and Families

cc: Mr. Robert Cavanaugh, Child Welfare Regional Program Manager, CB, Region 1
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Ms. Heidi McIntosh, Deputy Commissioner, State of CT, DCF
Mr. Gregory Messner, Chief Financial Officer, State of CT, DCF
Dr. Barbara Reese, Director, Revenue Enhancement Division, State of CT, DCF
Ms. Susan Sabin, Eligibility Supervisor, Revenue Enhancement Division, State of CT, DCF

STATE OF CONNECTICUT

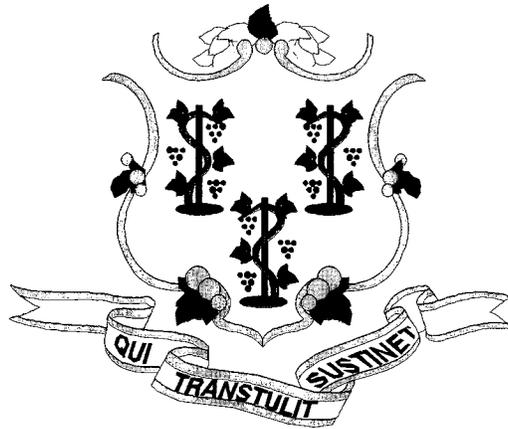
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Title IV-E Eligibility Review Program Improvement Plan

Department of Children and Families
Revenue Enhancement Division

Start date: November 1, 2009

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CHAPTER 1 OVERVIEW

During the week of April 6, 2009, the Children's Bureau of the Administration for Children and Families (ACF) conducted a subsequent primary eligibility review of Connecticut's Title IV-E foster and congregate care program. The purposes of the review were:

- 1) To determine if Connecticut was in compliance with the child and provider eligibility requirements (45 CFR §1356.71 and §427 of the Social Security Act).
- 2) To validate the basis of Connecticut's financial claims to ensure that appropriate payments were made on behalf of eligible children.

CHAPTER 2 SCOPE OF THE REVIEW

The Connecticut Title IV-E foster and congregate care eligibility review encompassed a sample of all of the Title IV-E foster care cases that received a foster care maintenance payment during the period of April 1, 2008 through September 30, 2008.

A computerized statistical sample of 80 cases and an over-sample of 20 cases were drawn from the Adoptions and Foster Care Analysis and Reporting System (AFCARS) data submission, which was transmitted by the state's Department of Children and Families (DCF) to the Children's Bureau for the period under review.

The children's cases were reviewed for the determination of Title IV-E eligibility, and the providers' cases were reviewed to ensure that the foster home and the congregate care facilities in which the children were placed had undergone the required criminal records and/or safety checks and were fully licensed or approved for the period under review.

CHAPTER 3 SUMMARY OF REVIEW FINDINGS

Of the 80 cases reviewed, 14 cases were determined to be in error for either part or all of the review period. Since the total number of error cases exceeded four, the Children's Bureau determined that Connecticut is not in substantial compliance.

In addition to the error cases, one non-error case was identified that included payments that were claimed improperly. With regard to this case, the ineligible maintenance payments and associated administrative costs are subject to disallowance.

CHAPTER 4 PROGRAM IMPROVEMENT PLAN HIGHLIGHTS

In accordance with 45 CFR 1356.71(i), Connecticut is required to develop and implement a Program Improvement Plan (PIP) to rectify the areas identified by the ACF as not in substantial compliance.

The state has a maximum of one year from its approved implementation date in which to implement and complete the provisions of the PIP unless state legislation is required.

Once Connecticut has completed the PIP, a secondary foster care eligibility review of a sample of 150 Title IV-E foster care cases will be conducted.

The main goal of the PIP is to establish improvement strategies for the following Areas in Need of Improvement:

- Licensing and placement in an eligible foster care facility
- Safety requirements for children placed in foster care
- Judicial determinations
- Placement and care responsibility
- Aid to Families with Dependent Children (AFDC) eligibility
- Additional Recommendations

CHAPTER 5 DETAILED PROGRAM IMPROVEMENT PLAN

This section contains a description of the errors noted during the review and of the corrective actions for program improvement. For each corrective action the state provides the responsible parties, the measurement criteria, the completion date, and the current status. Several of the improvement strategies address more than one area identified during the audit as needing improvement.

5.1. LICENSING AND PLACEMENT IN AN ELIGIBLE FOSTER CARE FACILITY

ACF's concerns for this Area in Need of Improvement include:

- Foster care providers not being fully licensed during a child's placement (5 cases), or only provisionally licensed (2 cases), or unlicensed pending the completion of a special study (1 case).
- Miscellaneous payment claimed for services rendered while a child was placed in an unallowable foster home (1 case), or Title IV-E maintenance payments claimed while a child was placed in a foster home prior to full licensure (1 case).
- Insufficient information to determine the exact placement of a child (2 cases).

GOAL # 1

State will place children in fully licensed foster homes only.

Corrective Action 1.1

Adhere to foster care licensing procedures; complete licensing process in a timely and accurate fashion; meet requirements for renewal on a consistent and timely basis; and avoid gaps in licenses.

- In order to assist social workers in completing the licensing process in a timely fashion, the state implemented Q-Ticket # 01CH055994 (License Expiration Batch Process - Email Notification). This change to the state's Statewide Automated Child Welfare Information System (SACWIS) ensures that when a child is in a placement with a provider whose license is about to expire, the SACWIS generates an automated email. This notification is sent to the assigned social worker and supervisor, alerting them of the impending expiration. Also, a system generated tickler notification is showed on the assigned social worker's SACWIS Tickler Tab. Once the license is renewed, the tickler disappears.
Completion date: October 11, 2008
- The Office of Foster Care and Adoption Services staff to be directed to complete the licensing process in a timely and complete manner. On September 1, 2009, a memorandum was disseminated to all Office of Foster Care and Adoption Services staff reiterating the importance of completing the licensing process in a timely and accurate fashion (see enclosure in Appendix C). Social Work Supervisors and Program Supervisors were directed to ensure compliance and conduct quality control checks.

Completion date: September 1, 2009. The process will be ongoing.

Responsible Parties

Office of Foster Care and Adoption Services
Information Systems Division
Fiscal Division

Measurement Criteria

Q-Ticket # 01CH055994 content implementation.

Office of Foster Care and Adoption Services Social Work Supervisors and Program Supervisors have been directed to conduct quality control checks. Social Work Supervisors will review 10 cases per month for adherence to policy. If errors continue to be found in the cases being reviewed, Office of Foster Care and Adoption Services supervisors and managers will utilize LINK reports to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with the directive included in the 9/1/09 OFAS Memorandum will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Overall Completion Date

September 1, 2009

Current Status

Complete.

Corrective Action 1.2

Include complete foster home licensing documentation in records.

- State to purchase 13 scanning machines and related scanning software in order to be able to scan licensure-related documentation.
Completion date: October 31, 2010
- The Information Systems Division to provide a SACWIS compliant enterprise solution for scanned documentation. The licensing documentation, the FBI and State Police fingerprint results, and the Central Registry results will be scanned as .pdf files. Most likely a URL path will be stored in the database, pointing to the .pdf files. As part of the Enterprise Scanning Solution, business units and individuals will be identified and trained on the new technology. The Q Ticket number for this project is 01CH074007.
Completion date: September 24, 2010

- Office of Foster Care and Adoption Services staff to be directed to include all licensure-related documentation in the records. On September 1, 2009, a memorandum has been disseminated to all Office of Foster Care and Adoption Services staff directing staff to include all the appropriate licensing documentation in the records in a timely and accurate fashion (see enclosure in Appendix C). Social Work Supervisors and Program Supervisors were directed to ensure compliance and conduct quality control checks. Completion date: September 1, 2009. The process will be ongoing.

Responsible Parties

Office of Foster Care and Adoption Services
Information Systems Division
Fiscal Division

Measurement Criteria

Completion of scanning machines/software purchase process.

Q-ticket 01CH074007 content implementation.

Office of Foster Care and Adoption Services Social Work Supervisors and Program Supervisors have been directed to conduct quality control checks. Social Work Supervisors will review 10 cases per month for adherence to policy. If errors continue to be found in the cases being reviewed, Office of Foster Care and Adoption Services supervisors and managers will utilize LINK reports to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with the directive included in the 9/1/09 OFAS Memorandum will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Overall Completion Date

October 31, 2010

Current Status

Pending

Corrective Action 1.3

Thoroughly document licensing decisions.

- The Office of Foster Care and Adoption Services staff to be directed to complete the licensing process in a timely and complete manner. On

September 1, 2009, a has been disseminated to all Office of Foster Care and Adoption Services staff reiterating the importance of completing the licensing process in a timely and accurate fashion (see enclosure in Appendix C). Social Work Supervisors and Program Supervisors were directed to ensure compliance and conduct quality control checks.
Completion date: September 1, 2009. The process will be ongoing.

Responsible Parties

Office of Foster Care and Adoption Services

Measurement Criteria

Office of Foster Care and Adoption Services Social Work Supervisors and Program Supervisors have been directed to conduct quality control checks. Social Work Supervisors will review 10 cases per month for adherence to policy. If errors continue to be found in the cases being reviewed, Office of Foster Care and Adoption Services supervisors and managers will utilize LINK reports to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with the directive included in the 9/1/09 OFAS Memorandum will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Overall Completion Date

September 1, 2009

Current Status

Complete

GOAL # 2

State will claim IV-E funding for fully licensed foster homes only.

Corrective Action 2.1

Enhance internal controls to prevent IV-E funding from being claimed until foster homes are fully licensed.

- Revenue Enhancement staff to be trained on this matter. The training session was held in August 2009. A training refresher will be held on an annual basis.
Completion date: August 25, 2009. The process will be ongoing.

- The new IV-E Eligibility system will notify the eligibility worker when a foster home is not fully licensed.
Completion date: March 31, 2010

Responsible Parties

Revenue Enhancement Division
Information Systems Division

Measurement Criteria

Completion of training session.

Targeted Quality Assurance reviews will be conducted starting in October 2009 to review the licensing for all the prior months IV-E approvals to determine that the eligibility workers are appropriately determining the child's eligibility. These reviews will be conducted bi-monthly beginning in October 2009. If deficiencies continue to be identified, additional corrective actions such as addressing concerns with identified staff, targeted training refreshers, and progressive discipline, will be undertaken as required.

Completion of new IV-E Eligibility system.

Overall Completion Date

March 31, 2010

Current Status

Pending

GOAL # 3

State will identify the child's exact placement in SACWIS.

Corrective Action 3.1

Record the child's actual placement in the state's SACWIS, and not only the name of the Child Placing Agency (CPA) overseeing the home in which the child is placed.

- The Office of Foster Care and Adoption Services to input the actual addresses of the CPA (NAFI and DARE) foster homes in SACWIS. Fiscal Division - Child Welfare Accounting Unit to migrate the placements to the foster family and to generate the payments to the CPA by completing the following steps:

-
- Rate Setting Staff to enter rates for NAFI and DARE using the new service type (Child Placing Agency Provider Payment),
 - Current placement with the Child Placing Agency (CPA) provider # to be closed,
 - Non-paying placements with foster family (associated with CPA) to be created,
 - In-home service episode to be created using service type Child Placing Agency Provider Payment.

This service episode will generate payments at the approved per diem rate to the CPA. The Child Welfare Accounting Unit will review billing requirements for the programs to gather information regarding the placement name and address for each child placed in the program going forward. Updating and validation process will be ongoing.
Completion date: October 31, 2009. The process will be ongoing.

Responsible Parties

Fiscal Division - Child Welfare Accounting Unit
Office of Foster Care and Adoption Services

Measurement Criteria

After completion of Corrective Action 3.1, the Office of Foster Care and Adoption Services staff will record the child's actual placement in the state's SACWIS on an ongoing basis. No payments will be processed if the correct information has not been entered in the SACWIS. Also, a Program Manager from the Office of Foster Care and Adoption Services will review a NAFI and DARE report on a quarterly basis.

The Child Welfare Accounting Unit will review billing requirements for the programs to gather information regarding the placement name and address for each child placed in the program going forward.

Overall Completion Date

October 31, 2009

Current Status

Pending

5.2. SAFETY REQUIREMENTS FOR CHILDREN PLACED IN FOSTER CARE

ACF's concerns for this Area in Need of Improvement include:

- Missing evidence of complete criminal records checks in foster parents' files (3 cases).
- Missing evidence of complete safety checks (1 case), and complete background checks for all congregate care facility staff (1 case).

GOAL # 4

State will complete all required checks (state and local police searches by name and date of birth, State and FBI fingerprint searches, and LINK / CMS checks) prior to initial foster home licensure; will include safety documentation in files and records; and will enter the related necessary information in the SACWIS in a timely, accurate, and consistent fashion.

State will ensure that all required checks (criminal history name and date of birth and LINK / CMS checks) have been completed by congregate care facilities prior to initial congregate care facility licensure; that upon re-licensure, the facility employee files show the required checks for all new staff added in the past two years; that DCF Licensing staff document the review of personnel files on the Safety Check Documentation form; and that the date of the personnel file review is entered into the SACWIS in the licensed facility's file.

Corrective Action 4.1

Adhere to licensing policy and procedures, and consistently and timely meet safety requirements.

- In order to prevent the approval of foster care licenses with background checks in Pending status, the state implemented Q-Ticket # 01CH070173 (Provider Licensing - Provider Background Check - FBI Pending Results). Completion date: May 14, 2009
- The Office of Foster Care and Adoption Services to be directed to adhere to licensing policy and procedures, and consistently and timely meet safety requirements. On September 1, 2009, a memorandum was disseminated to all Office of Foster Care and Adoption Services staff, directing them to adhere to the licensing policies and procedures, and consistently and timely meet safety requirements (see enclosure in Appendix C). Social Work

Supervisors and Program Supervisors were directed to ensure compliance and conduct quality control checks.

Completion date: September 1, 2009. The process will be ongoing.

- Licensing Unit staff to ensure licensed congregate care facilities conduct all required background checks of employees and that the date of review of facility personnel files is documented in SACWIS.

Completion date: December 30, 2009

Responsible Parties

Information Systems Division
Office of Foster Care and Adoption Services
Licensing Unit

Measurement Criteria

Q-Ticket # 01CH070173 content implementation.

Office of Foster Care and Adoption Services Social Work Supervisors and Program Supervisors have been directed to conduct quality control checks. Social Work Supervisors will review 10 cases per month for adherence to policy. If errors continue to be found in the cases being reviewed, Office of Foster Care and Adoption Services supervisors and managers will utilize LINK reports to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with the directive included in the 9/1/09 OFAS Memorandum will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Licensing Unit staff are directed to ensure all proper required background checks are in personnel files during each re-licensing process.

Overall Completion Date

December 30, 2009

Current Status

Pending

Corrective Action 4.2

Include complete safety documentation in licensing files for foster parents, and in personnel files for congregate care facility staff.

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- The Office of Foster Care and Adoption Services staff to be directed to consistently include complete safety documentation in licensing files for foster parents, and in personnel files for childcare institutions staff. On September 1, 2009, a memorandum was disseminated to all Office of Foster Care and Adoption Services staff, directing them to consistently include complete safety documentation in licensing files for foster parents (see enclosure in Appendix C). Social Work Supervisors and Program Supervisors were directed to ensure compliance and conduct quality control checks. Completion date: September 1, 2009. The process will be ongoing.
 - The Licensing Unit staff to be directed to ensure that congregate care facilities consistently include complete safety documentation in personnel files for congregate care facility staff. Completion date: October 1, 2009.

Responsible Parties

Office of Foster Care and Adoption Services
Licensing Unit

Measurement Criteria

Office of Foster Care and Adoption Services Social Work Supervisors and Program Supervisors have been directed to conduct quality control checks. Social Work Supervisors will review 10 cases per month for adherence to policy. If errors continue to be found in the cases being reviewed, Office of Foster Care and Adoption Services supervisors and managers will utilize LINK reports to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with the directive included in the 9/1/09 OFAS Memorandum will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Licensing Unit staff are directed to ensure all proper required background checks are in personnel files during each re-licensing process.

Overall Completion Date

October 1, 2009

Current Status

Pending

Corrective Action 4.3

For foster homes, enter in SACWIS timely, accurate, and consistent data regarding both the safety checks and the dates they were requested and returned, along with the results.

- The Office of Foster Care and Adoption Services staff to be directed to consistently update SACWIS with timely and accurate data regarding both the safety checks and the dates they were requested and returned, along with the results. On September 1, 2009, a memorandum was disseminated to all Office of Foster Care and Adoption Services staff, directing them to enter in the SACWIS timely and accurate data regarding both the safety checks and the dates they were requested and returned, along with the results (see enclosure in Appendix C). Social Work Supervisors and Program Supervisors were directed to ensure compliance and conduct quality control checks.

Completion date: September 1, 2009. The process will be ongoing.

- Modify CPA form (DCF-720) to include the dates the background check has been completed. The CPA form (DCF720) was revised in March 2009 (see enclosure in Appendix C). It now includes language verifying that the results of the background checks imply the individual does not have any criminal or CPS history that would preclude licensure.

Completion date: March 5, 2009

Responsible Parties

Office of Foster Care and Adoption Services

Measurement Criteria

Office of Foster Care and Adoption Services Social Work Supervisors and Program Supervisors have been directed to conduct quality control checks. Social Work Supervisors will review 10 cases per month for adherence to policy. If errors continue to be found in the cases being reviewed, Office of Foster Care and Adoption Services supervisors and managers will utilize LINK reports to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with the directive included in the 9/1/09 OFAS Memorandum will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Completion of CPA form (DCF-720) revision process.

Overall Completion Date

September 1, 2009

Current Status

Complete

GOAL # 5

State will complete all required checks (state and local police searches by name and date of birth, State and FBI fingerprint for any foster home household member age 16 or older who has not previously completed them, and LINK / CMS checks) prior to relicensure; will include safety documentation in files and records; and will enter the related necessary information in the SACWIS in a timely, accurate, and consistent fashion.

Corrective Action 5.1

Adhere to foster home licensing policy and procedures, and consistently and timely meet safety requirements.

- The Office of Foster Care and Adoption Services staff to be directed to adhere to foster home licensing policy and procedures, and consistently and timely meet safety requirements. On September 1, 2009, a memorandum was disseminated to all Office of Foster Care and Adoption Services staff, directing them to adhere to the licensing policies and procedures, and consistently and timely meet safety requirements (see enclosure in Appendix C). Social Work Supervisors and Program Supervisors were directed to ensure compliance and conduct quality control checks. Completion date: September 1, 2009. The process will be ongoing.

Responsible Parties

Office of Foster Care and Adoption Services

Measurement Criteria

Office of Foster Care and Adoption Services Social Work Supervisors and Program Supervisors have been directed to conduct quality control checks. Social Work Supervisors will review 10 cases per month for adherence to policy. If errors continue to be found in the cases being reviewed, Office of Foster Care and Adoption Services supervisors and managers will utilize LINK reports to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with the directive

included in the 9/1/09 OFAS Memorandum will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Overall Completion Date

September 1, 2009

Current Status

Complete

Corrective Action 5.2

Include complete safety documentation in licensing files for foster parents, and in personnel files for congregate care facility staff.

- The Office of Foster Care and Adoption Services staff to be directed to consistently include complete safety documentation in licensing files for foster parents. On September 1, 2009, a memorandum was disseminated to all Office of Foster Care and Adoption Services staff, directing them to consistently include complete safety documentation in licensing files for foster parents (see enclosure in Appendix C). Social Work Supervisors and Program Supervisors were directed to ensure compliance and conduct quality control checks.
Completion date: September 1, 2009. The process will be ongoing.
- The Licensing Unit staff to ensure licensed congregate care facilities conduct all required background checks of employees.
Completion date: October 1, 2009

Responsible Parties

Office of Foster Care and Adoption Services
Licensing Unit

Measurement Criteria

Office of Foster Care and Adoption Services Social Work Supervisors and Program Supervisors have been directed to conduct quality control checks. Social Work Supervisors will review 10 cases per month for adherence to policy. If errors continue to be found in the cases being reviewed, Office of Foster Care and Adoption Services supervisors and managers will utilize LINK reports to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with the directive included in the 9/1/09 OFAS Memorandum will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Licensing Unit staff are directed to ensure all proper required background checks are in personnel files during each re-licensing process.

Overall Completion Date

October 1, 2009

Current Status

Pending

Corrective Action 5.3

For foster homes, enter in the SACWIS timely, accurate, and consistent data regarding both the safety checks and the dates they were requested and returned, along with the results.

- The Office of Foster Care and Adoption Services staff to be directed to consistently update SACWIS with timely and accurate data regarding both the foster home safety checks and the dates they were requested and returned, along with the results. On September 1, 2009, a memorandum was disseminated to all Office of Foster Care and Adoption Services staff, directing them to enter in the SACWIS timely and accurate data regarding both the safety checks and the dates they were requested and returned, along with the results (see enclosure in Appendix C). Social Work Supervisors and Program Supervisors were directed to ensure compliance and conduct quality control checks.
Completion date: September 1, 2009. The process will be ongoing.

Responsible Parties

Office of Foster Care and Adoption Services

Measurement Criteria

Office of Foster Care and Adoption Services Social Work Supervisors and Program Supervisors have been directed to conduct quality control checks. Social Work Supervisors will review 10 cases per month for adherence to policy. If errors continue to be found in the cases being reviewed, Office of Foster Care and Adoption Services supervisors and managers will utilize LINK reports to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with the directive included in the 9/1/09 OFAS Memorandum will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Overall Completion Date

September 1, 2009

Current Status

Complete

GOAL # 6

State will include the procedure used to satisfy the safety requirements for staff in childcare institutions in state's policy, and staff will be trained accordingly.

Corrective Action 6.1

Finalize the draft licensing policy regarding congregate care facilities.

- Licensing policy has been drafted and will be finalized by December 1, 2009.
Completion date: December 1, 2009

Responsible Parties

Office of Legal Affairs
Licensing Unit

Measurement Criteria

Completion of licensing policy process.

Overall Completion Date

December 1, 2009

Current Status

Pending

Corrective Action 6.2

Licensing Unit to provide policy-related training to staff.

- Licensing Unit will provide comprehensive policy-related training to staff in a timely manner.
Completion date: December 30, 2009

Responsible Parties

Licensing Unit

Measurement Criteria

Completion of training session.

Overall Completion Date

December 30, 2009

Current Status

Pending

5.3. JUDICIAL DETERMINATIONS

ACF's concerns for this Area in Need of Improvement include:

- Missing timely judicial determinations of reasonable efforts to make and finalize permanency plan (2 cases).
- Unclear in structure/format of court form JD-JM-25 ("Order of Commitment / Extension of Commitment of Child From Family With Service Needs").

GOAL # 7

Court determinations will be issued in a timely fashion, and appropriate findings will be made.

Corrective Action 7.1

Address delays in timely court determinations regarding permanency plans, and ensure that appropriate findings are made.

- Reduce continuances of permanency plan hearings and abolish practice of consolidating permanency plan hearings with termination of parental rights and transfer of guardianship trials, unless such consolidation results in a permanency plan finding within 12 months of placement or the last permanency plan finding.
Completion date: June 30, 2010
- Implement policy and practice changes at DCF to ensure filing the Termination of Parental Rights or Transfer of Guardianship motion with the permanency plan.
Completion date: January 30, 2010
- Revise permanency plan order form JD-JM 129 that to indicate that judges should not consolidate permanency plan hearings with termination of parental rights and transfer of guardianship trials, unless such consolidation

results in a permanency plan hearing within 12 months of placement or the last permanency plan finding. Court for JD-JM 129 was revised in August 2009 (see enclosure in Appendix C).

- Completion date: August 2009
- The new Eligibility application will notify the social workers via email eight (8) months after the prior reasonable efforts determination has been made, to ensure that social workers initiate the appropriate legal process. Area office legal staff will be notified as well.
Completion date: March 31, 2010

Responsible Parties

Child Welfare Bureau
Office of Legal Affairs
CT Judicial Branch
Revenue Enhancement Division
Information Systems Division

Measurement Criteria

Completion of corrective steps.

Completion of new IV-E Eligibility system.

Overall Completion Date

June 30, 2010

Current Status

Pending

Corrective Action 7.2

Revise court form JD-JM-25 ("Order of Commitment / Extension of Commitment of Child From Family With Service Needs") so that court's findings are clearly delineated in the written order.

- Court form JD-JM-25 to be revised. The form has been revised in September 2008 (see enclosure in Appendix C).
Completion date: September 2008

Responsible Parties

CT Judicial Branch
Office of Legal Affairs

Measurement Criteria

Completion of Court form JD-JM-25 revision.

Overall Completion Date

September 2008

Current Status

Complete

GOAL # 8

State will not claim Title IV-E funds when there is a delay in court determinations.

Corrective Action 8.1

Institute internal controls to ensure that Title IV-E funds are not claimed when there is a delay in the required judicial determination of reasonable efforts to finalize the permanency plan.

- The new IV-E Eligibility determination system will include a Judicial interface updated on a nightly basis, which will notify the eligibility worker when a judicial determination has or has not been made.
Completion date: March 31, 2010
- Eligibility workers will be directed to follow up when errors in court findings have been identified, in order to pursue correction of judicial determinations where possible.
Completion date: December 30, 2009

Responsible Parties

Revenue Enhancement Division
Information Systems Division

Measurement Criteria

Monthly supervisory and bi-monthly Quality Assurance review of the eligibility workers' Judicial alerts to monitor timely action in determining ongoing Title IV-E eligibility based on the child's legal status and timely reasonable efforts findings.

Completion of new IV-E Eligibility system.

Overall Completion Date

March 31, 2010. The overall process will be ongoing.

Current Status

Pending

5.4. PLACEMENT AND CARE RESPONSIBILITY

ACF's concerns for this Area in Need of Improvement include:

- Due to an incorrect legal date in the SACWIS, the state continued to claim Title IV-E payments after child's custody was transferred (1 case).

GOAL # 9

State will enter placement and care responsibility information in the SACWIS in a consistently, accurate and timely fashion.

Corrective Action 9.1

Enter in the SACWIS timely, accurate, and consistent placement and care responsibility information.

- Child Welfare staff to be directed to enter in the the SACWIS timely and accurate data regarding placement and care responsibility. A memorandum will be disseminated to all DCF Area Office Child Welfare staff, directing them to consistently document placement and care responsibility information in the SACWIS (see enclosure in Appendix C). Child Welfare supervisors and managers will be directed to ensure compliance and conduct quality control checks.

Completion date: October 15, 2009. The process will be ongoing.

Responsible Parties

Child Welfare Bureau

Measurement Criteria

Child Welfare supervisors and managers will be directed to conduct quality control checks. If errors continue to be found in the cases being reviewed, supervisors and managers will utilize LINK reports (for instance, the Daily Placement Report includes 42 data elements on every child in an open placement. Data is displayed in five summary views, on five worksheet tabs: Placement Type, Assignment Type, Demographics, Legal Status, Time In Care. Summary views are in pivot table format, providing the ability to analyze the

data as desired) to better identify problematic functional areas and/or staff. They will then address the concerns with specific individuals and their supervisors, and direct supervisors to provide targeted refreshers. Failure to comply with this directive will result in progressive discipline in accordance with departmental policy and collective bargaining agreements.

Overall Completion Date

October 15, 2009

Current Status

Pending

5.5. AID TO FAMILIES WITH DEPENDENT CHILDREN ELIGIBILITY

ACF's concerns for this Area in Need of Improvement include:

- Due to inaccuracy in Aid to Families with Dependent Children (AFDC) eligibility determination process, Title IV-E payments continued to be claimed after a 18-year-old youth was no longer expected to graduate before age 19 (1 case).

GOAL # 10

State will perform an accurate and timely AFDC eligibility determination process.

Corrective Action 10.1

Enhance accuracy and timeliness of AFDC eligibility determination process.

- The new IV-E Eligibility system will address the eligibility issues for children age 18 and 19 by creating an interim determination in the month of the 18th birthday. This will allow the eligibility worker to verify that the child has elected to remain in care, and that he or she remains a full-time high school student expected to graduate before turning 19. An additional determination will be done in June, after the child's 18th birthday, to verify the student status. The children who passed the first two checks will be checked again at age 19.

Completion date: March 31, 2010

Responsible Parties

Revenue Enhancement Division
Information Systems Division

Measurement Criteria

This area will be monitored by the eligibility supervisor for timely eligibility determinations. A sample of the cases that appear on the eligibility workers' alerts will be reviewed by the supervisor to determine that accurate determinations are being performed.

Completion of new IV-E Eligibility system.

Overall Completion Date

March 31, 2010. The overall process will be ongoing.

Current Status

Pending

5.6. ADDITIONAL RECOMMENDATIONS

ACF made the following additional recommendations:

GOAL # 11

Revenue Enhancement Division staff will consistently use accurate criteria and appropriate documentation during eligibility determinations.

Corrective Action 11.1

Provide additional training to Revenue Enhancement Division staff members to ensure accurate criteria and appropriate documentation are being used during eligibility determinations.

Responsible Parties

Revenue Enhancement Division

Measurement Criteria

The monthly Quality Assurance determinations will be used to determine policy or procedural areas that require additional training. In addition, specific policy area will be addressed at monthly staff meetings.

Overall Completion Date

Commenced on August 26, 2009. The process will be ongoing.

Current Status

Complete

GOAL # 12

Revenue Enhancement Division Quality Assurance process will ensure that all cases for which Title IV-E maintenance payments are being claimed meet all eligibility requirements.

Corrective Action 12.1

Continuously improve Revenue Enhancement Division Quality Assurance process to ensure all cases for which Title IV-E maintenance payments are being claimed meet all eligibility requirements.

- Currently, full review of a random sample of 5% of IV-E determinations is performed on a monthly basis. In order to streamline and enhance its Quality Assurance process, the Revenue Enhancement Division will add targeted reviews, such as foster care licensing, on a bi-monthly basis. Since targeted reviews will have a narrower scope, it will be possible to increase the sample size to 15 -20% of the IV-E determination cases. Also, a two-step review process will be introduced to ensure enhanced validation.
Completion date: The addition of targeted reviews to full reviews will start in October 2009. The process will be ongoing.
- A tracking system for the Eligibility error types will be developed, which will also identify the Eligibility staff responsible for correcting the errors. The errors will also be measured on an issue severity scale to signify the impact on Title IV-E eligibility. This will allow the Revenue Enhancement Division Quality Assurance staff to identify error trends and recurrences, and need for additional training.
Completion date: The tracking system will be put in place by January 31, 2010. The process will be ongoing.
- Eligibility workers will be directed to promote the correction of Judicial determinations where possible, when errors in court findings have been identified.
Completion date: December 30, 2009

Responsible Parties

Revenue Enhancement Division

Measurement Criteria

Monthly quality assurance reports will be compiled. These reports will be reviewed on a quarterly basis and the necessary corrective action performed. Each quarter the area being addressed in the targeted reviews will also be reviewed and adjusted as necessary to meet the needs of the Title IV-E unit. The tracking system is currently under development. This system will be used as a tool to identify areas in need of additional training.

Overall Completion Date

January 31, 2010. The overall process will be ongoing.

Current Status

Pending

CHAPTER 6 REPORTING OF PROGRESS

Quarterly reports will be forwarded to ACF to report progress on corrective actions identified for each goal.

APPENDIX A TABLE OF ACRONYMS

ACF	Administration for Children and Families
AFCARS	Adoptions and Foster Care Analysis and Reporting System
AFDC	Aid to Families with Dependent Children
CPA	Child Placing Agencies
DCF	Department of Children and Families
PIP	Program Improvement Plan
SACWIS	Statewide Automated Child Welfare Information System
TOG	Transfer of Guardianship

APPENDIX B CONTACTS

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APPENDIX C ENCLOSURES

DCF - 720 form (revised 3/5/09)

JD - JM 25 court form (revised Sep 08)

JD - JM 129 court form (revised Aug 09)

9/1/09 OFAS Memo

DCF-720 CONNECTICUT PRIVATE CHILD PLACING AGENCY FOSTER CARE PROGRAM
 VERIFICATION OF REQUIREMENTS FOR APPROVAL/RE-APPROVAL FOR FOSTER AND PROSPECTIVE ADOPTIVE FAMILIES

3/5/09-Rev

Page 1 of 9

PARENT 1	Name (last, first)	Home Telephone	Work Telephone
	Race: Ethnicity:	Gender:	Marital Status: S.S.#: U.S. Citizen? Primary Language:
PARENT 2	Name (last, first)	Home Telephone	Work Telephone
Mailing Address	No. and Street	City/Town	State Zip
	Race: Ethnicity:	Gender:	Marital Status: S.S.#: U.S. Citizen? Primary Language:

<input type="checkbox"/> Initial Approval <input type="checkbox"/> Re-Approval	APPROVAL/RE-APPROVAL TYPE
Application dated:	AGENCY NAME:
Primary method of pre-service training: <input type="checkbox"/> Group Series <input type="checkbox"/> Family Members Attended: Begin Date: End Date: <input type="checkbox"/> Individual - If "individual" provide reason(s): <input type="checkbox"/> Training Curriculum or Training Topics:	<input type="checkbox"/> Foster Care <input type="checkbox"/> Type (i.e. therapeutic, treatment, professional): <input type="checkbox"/> Approved/Re-Approved Bed Capacity: <input type="checkbox"/> Approval/Re-Approval Begin Date: <input type="checkbox"/> Approval/Re-Approval End Date:

NOTE: BACKGROUND CHECKS MUST BE CONDUCTED ON HOUSEHOLD MEMBERS AGE 16 AND OLDER

- DATE(S) BIU, STATE FINGERPRINT, AND FBI FINGERPRINT PACKETS SENT TO DPS:
- DATE(S) CHILD PROTECTION HISTORY REQUEST SENT TO HOTLINE:

NAMES OF ALL HOUSEHOLD MEMBERS	DATE OF BIRTH	Relationship (Parent 1, Parent 2, Birth Child, Adoptive Child, etc)	Date BIU (includes sex off & DMV) Report Results Received	Date State Fingerprint Results Received	Date FBI Fingerprint Results Received	Date Child Protection History Results Received

RE-APPROVAL

Note: The following background checks should be completed on household members age 16 and older.

NAMES OF ALL HOUSEHOLD MEMBERS	DATE OF BIRTH	Relationship (Parent 1, Parent 2, Birth Child, Adoptive Child, etc)	Date Local Police Check Results Received	Date State Name/DOB Police Check Received	Date Child Protection History Results Received	Date DMV Check Results Received

Note: Submitting this form as the LINK Registration certifies that none of the individual's listed have criminal and/or CPS histories that would preclude them from being approved as a foster/adoptive parent, per CT Regulations.

UPDATES/CHANGES

Address/Phone # Change:

Home Closed/Effective Date:

Marital Status:

New Household Member :Note: All Initial Background Checks should be completed- please document above in Household Member Table to ensure all background check dates are documented. Demographic data listed above is required for each new member.

Deactivate household member(s): Name: Eff. Date: ; Name: Eff. Date:

Signature (Print name if email): Date:

NUMBER OF VISITS WITH: ___ PARENT 1; ___ PARENT 2; ___ CHILDREN; ___ OTHERS

DATES OF VISITS IN OFFICE: _____

DATES OF VISITS IN HOME: _____

IS THE FOLLOWING DOCUMENTATION CONTAINED IN THE APPLICANT'S / APPROVED PARENT'S RECORD?

(NOTE: " * " INDICATES ITEMS THAT ARE TO BE OBTAINED AGAIN AT RE-APPROVAL. " *** " ARE ITMES FOR RE-APPROVAL IF APPROPRIATE)

Application	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Protective Service Check *	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Local Police Name and Address Search *	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
State Police Name Search *	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
State Police Fingerprint Card	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
FBI Fingerprint Card	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Department of Motor Vehicles Check	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Marriage/Legal Separation/Divorce (Adoption)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Physician's Statement for Foster Care or Adoptive Applicant **	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Confidentiality Agreement	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Disciplinary Agreement	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Financial Statement and verifying documentation	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Authorization for a Placement Which Exceeds Population	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Lead Paint Test Results **	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Well Water Test Results **	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Pool Inspection **	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Auxiliary Heating Systems **	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Pet Vaccination Certificate	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
References Received (at least 3)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Completed Family Assessment	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Adoption Update	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
Family Registration - Adoption (DCF-334)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

Was the applicant / approved parent(s)

- Given a copy of Regulations 17a-145-130 through 17a-145-160 ? Yes No
- Informed of his/her responsibilities indicated in the Regulations? Yes No

COMPLIANCE WITH REGULATIONS

§17a-150-90

1. Was an assessment completed for each applicant/approved parent and all members of the household to determine the ability of the applicant/approved parent to comply with the Regulations of Connecticut State Agencies §§17a-150-90 through 17a-150-114 Yes No

§17a-150-95 Physical Requirements of Applicants' / Approved Parent(s)' Homes

1. Are dwellings and furnishings clean, comfortable and in good repair? Yes No
2. Is the home reasonably safe from fire? Yes No
3. Are the home and grounds reasonably free from anything that constitutes a hazard to children? Yes No
4. Was peeling indoor or outdoor paint accessible to children determined to be non-toxic? Yes No N/A
5. Is equipment used by the children free from any paint or other covering material which is poisonous? Yes No
6. Do all swimming pools comply with local and state regulations? Yes No N/A
7. Are medicines and toxic and flammable materials kept out of the reach of children? Yes No
8. Is there sufficient indoor and outdoor space, ventilation, toilet facilities, light and heat to ensure the health and comfort of all members of the household? Yes No
9. Do all heating systems comply with state and local building and fire codes? Yes No
10. Are there adequate sewage and garbage facilities? Yes No
11. Is all power driven machinery or other hazardous equipment properly safeguarded and is/will their use by any foster or adoptive child (be) properly supervised by an adult? Yes No
12. Are emergency evacuation plans established? Yes No
13. Is a furnace enclosed if it is located on the same floor as a living space? Yes No N/A
14. Are smoke detectors in operating condition and located so as to protect sleep areas, play areas and the basement? Yes No

§17a-150-96: Telephone

1. Is there a working telephone with emergency numbers posted in an easily visible location? Yes No
2. Does the applicant/approved parent agree to notify the agency within one (1) business day of any change in the telephone number or telephone status? Yes No

§17a-150-97: Children's Bedroom, Clothing and Privacy

1. Is each bedroom enclosed on all sides, with a window and a door that leads into a hallway or other common area? Yes No
2. Does each bedroom have at least two (2) approved means of exit capable of providing for escape in the event of fire or disaster? Yes No
3. Will/Are bedrooms for children be used for sleeping purposes and customary children's activities only, and not used for general purposes of other members of the family? Yes No
4. Will/Do foster and adoptive children under three (3) years of age sleep on the same floor and in close proximity to foster or adoptive parents or a responsible adult? Yes No N/A
5. Will/Is a separate bed be provided for each child except that siblings of the same sex may sleep together in a double sized or larger bed with the approval of the chief administrative officer of the child placing agency? Yes No

- Yes No N/A
6. Does the applicant/approved parent agree that:
- a. no child three (3) years of age or older shall be permitted to share a bedroom with another child of the opposite sex or a same sex child of disparate age Yes No N/A
- b. no child over one (1) year of age shall share a room with an adult without the permission of the chief administrative officer of the child placing agency Yes No
- c. no more than four (4) children including the applicant/approved family's own children shall sleep in the same room without the permission of the chief administrative officer of the child placing agency?
7. Will/Is children's clothing be kept clean and in good condition in keeping with the standards of the community? Yes No
8. Will/Is there be safe storage for children's clothing and personal possessions? Yes No
9. Will/Is each child be afforded privacy appropriate to his/her growth and development? Yes No

§17a-150-98: Food and Water

1. Does all food for human consumption, food storage and preparation, personal cleanliness and general care of the home meet generally accepted health standards? Yes No
2. Does the applicant/approved parent agree that non-pasteurized milk products will not be provided to any child in care by, or with the approval or knowledge of, the foster or adoptive family? Yes No
3. Is the water supply safe and adequate to meet the needs of the household? Yes No

§17a-150-99: Firearms and Weapons

1. Does the applicant/approved parent or any resident in the home possess a firearm or other type of dangerous weapon? Yes No
- If yes, does the applicant/approved parent ensure that:
- a. firearms and ammunition are locked in separate places inaccessible to all children Yes No
- b. whenever practicable, firearms are equipped with a trigger guard lock Yes No
- c. other types of dangerous weapons are unstrung or unloaded and stored in locked containers out of the reach of children Yes No
- d. keys to the locked storage area of firearms, other types of dangerous weapons, trigger guards, and ammunition are kept in the secure possession of an adult or reasonably secure from children? Yes No

§17a-150-100: Animals

1. Are all animals kept in a safe and sanitary manner in compliance with all statutes and regulations regarding vaccination and generally accepted veterinary care? Yes No N/A

§17a-150-101: Health Standards for Applicants/Approved Parents and Members of the Household

1. Has each person living in the home, as evidenced by a written statement by a physician based upon a physical examination within the previous 12 months,
- been determined to be in good health or are specified members of the family receiving all necessary continuing medical care ? Yes No
 - been determined to be free of communicable disease ? Yes No
 - been determined to be physically and mentally able to provide care to children? Yes No
- Yes No

2. Does the applicant/approved parent(s) agree to notify the child placing agency whenever they or a member of the family contract a communicable disease or if they develop a physical or mental infirmity which interferes with their child-caring ability?

3. Has the applicant suffered the death of a biological, adoptable or adopted child within one year of the application? Yes No

§17a-150-102: Character Standards of Applicants/Approved Parents and other members of the Household

1. Is the applicant/approved parent and other members of the household of good character, habits and reputation? Yes No

§17a-150-103: Change in Family Conditions

1. Does the applicant/approved parent agree to notify the child placing agency, in writing, prior to, or not later than, one (1) business day following, any change in circumstance or member of the household which would alter the statement of fact made in the application for approval or which would effect the ability of the applicant or approved parent to provide ongoing care of the child? Yes No

§17a-150-104: Reporting of the Injury, Illness, Death, Fire or Absence of a Child from Placement

1. Does the applicant/approved parent agree to notify the child placing agency, by telephone, within six (6) hours of any serious injury, serious illness or death of a child, any fire in the home or any unauthorized absence of a child? Yes No

§17a-150-105: Financial Condition of the Applicant/Approved Parent

1. Does the applicant/approved parent have an income sufficient to meet the needs of their family? Yes No

2. Does the applicant/approved parent agree that money received on behalf of the child shall be expended for the care of the child? Yes No

§17a-150-106: Substitute Child Care

1. Does the applicant/approved parent agree that if all adults in the home are employed or otherwise occupied for a substantial amount of time away from the home, the care and supervision of the child must be provided by a competent individual and that the plans for such care must be approved in advance by the chief administrative officer of the child placing agency? Yes No

§17a-150-107: Cooperation with the Child's Treatment Plan

1. Will/Does the applicant/approved parent comply with the treatment plan for the child and work cooperatively with the department in all matters pertaining to the child's welfare? Yes No

2. Will/Does the applicant/approved parent accept, cooperate with and support arrangements made for the child to have contact, including visits and correspondence, with the child's biological family in keeping with the frequency indicated by the treatment plan; and agree that visits will take place at the foster home or other location if deemed to be in the best interest of the child and foster family? Yes No

3. Will/Does the applicant/approved parent agree to be an active participant in reunification of the child with the child's biological family if so directed by DCF and the child placing agency? Yes No

§17a-150-108: Limitation on the Number of Approvals or Licenses Allowed

1. Does the applicant/approved parent agree
- to possess only one (1) approval or license for any form of out-of-home care Yes No
 - not to hold dual approval Yes No
 - not to accept another child for placement on a private basis? Yes No

§17a-150-109: General Requirements of Foster and Prospective Adoptive Parents

1. Is the applicant/approved parent physically, intellectually and emotionally capable of providing care, guidance and supervision of the child, including:
- a. ensuring routine medical care, scheduling and transportation Yes No
 - b. obtaining and following instructions from the child's medical provider for administering medication or treatment Yes No
 - c. keeping all medications clearly labeled and out of the reach of children Yes No
 - d. establishing plans to respond to illness and emergencies, including serious injuries and the ingestion of poison, with appropriate first aid supplies available in the home out of the reach of children Yes No
 - e. maintaining all documentation as required by the department Yes No
 - e. providing for the child's physical needs, including adequate hygiene, nutritional meals and snacks prepared in a safe and sanitary manner, readily available drinking water, a balanced schedule of rest, active play, and indoor and outdoor activity appropriate to the age of the child in care Yes No
 - g. promoting the social, intellectual, emotional, and physical development of each child by providing activities that meet these needs or any special needs Yes No
 - h. assuring adequate opportunity for cultural and educational activities in the family and in the community Yes No
 - i. providing children who do not share the same language as the caretaker with opportunities to practice their native language as they become bi-lingual or multi-lingual Yes No
 - j. providing adequate opportunity for religious training and participation appropriate to the child's religious denomination Yes No
 - k. not requiring any child to participate in religious practices contrary to the child's beliefs Yes No
 - l. providing emotional support and an environment that meets the child's ethnic and cultural needs Yes No
 - m. assuring the child's participation in an approved education program, including regular school attendance Yes No
 - n. cooperating with proper authorities regarding the child's educational needs Yes No
 - o. guiding the child in the acquisition of daily living skills, including the assigning of daily chores to the child on the basis of the child's abilities and developmental level Yes No
 - p. providing infants and toddlers with ample opportunity for freedom of movement each day outside of a crib or playpen Yes No

- q. holding infants for all bottle feedings, as well as at other times, for attention and verbal communication?
2. Does the applicant/approved parent agree that they and members of the household, substitute care providers and other persons having regular access to children in the home shall
- a. give the child humane and affectionate care Yes No
 - b. be a positive role model to the child and instruct the child in appropriate behavior Yes No
 - c. establish limits and assist the child to develop self-control and judgment skills Yes No
 - d. encourage the children to assume age-appropriate responsibility for their decisions and actions? Yes No
3. Does the applicant/approved parent agree to:
- a. use disciplinary methods appropriate to the child's age and level of development Yes No
 - b. not use physically or verbally abusive, neglectful, humiliating, frightening or corporal punishment, including but not limited to spanking, cursing or threats Yes No
 - c. obtain prior written approval from the commissioner or designee when unusual circumstances require continued or frequent use of physical or mechanical restraints Yes No
 - d. complete all assessment and training requirements as prescribed by the DCF and the child placing agency Yes No

§17a-150-110: Foster Family or Prospective Adoptive Family Criminal History; Pending Criminal Actions; History of Child Abuse or Neglect

1. Has the applicant or any member of the household:
 (Note: A "Yes" disqualifies the applicant):
- a. been convicted of injury or risk of injury to a minor or other similar offenses against a minor Yes No
 - b. been convicted of impairing the morals of a minor or other similar offenses against a minor Yes No
 - c. been convicted of violent crime against a person or other similar offenses Yes No
 - d. been convicted of the possession, use, or sale of controlled substances within the past five (5) years Yes No
 - e. been convicted of illegal use of a firearm or other similar offenses Yes No
 - f. ever had an allegation of child abuse or neglect substantiated Yes No
 - g. had a minor removed from their care because of child abuse or neglect Yes No

2. Has the approved parent or any member of the household ...
(Note: A "Yes" may disqualify the approved parent):
- a. been convicted of injury or risk of injury to a minor or other similar offenses against a minor Yes No
 - b. been convicted of impairing the morals of a minor or other similar offenses against a minor Yes No
 - c. been convicted of violent crime against a person or other similar offenses Yes No
 - d. been convicted of the possession, use, or sale of controlled substances Yes No
 - e. been convicted of illegal use of a firearm or other similar offenses Yes No
 - f. ever had an allegation of child abuse or neglect substantiated Yes No
 - g. had a minor removed from their care because of child abuse or neglect Yes No
3. Is / Has the applicant/approved parent or any member of the household ...
(Note: A "Yes" may disqualify the applicant or approved parent):
- a. awaiting trial, or on trial, for charges as described above in 1. a-e Yes No
 - b. a criminal record that makes the home unsuitable Yes No
 - c. a current child abuse or neglect allegation pending? Yes No

§17a-150-111

1. Does the applicant/approved parent agree to accept placements of children in their home in accordance with their approval and as specified by regulations 17a-145-130 through 17a-145-160? Yes No

§17a-145-156

1. Has it been explained to the applicant/approved parent by the child placing agency that they may request a review, hearing or other method of appeal as shall be provided by the child placing agency seeking any type of administrative hold, suspension, revocation or refusal to renew an approval? Yes No

§17a-145-160

1. Has it been explained to the applicant/approved parent by the child placing agency that State Regulation 17a-145-160 requires that, except with authorization by the commissioner, children shall not be placed in a foster or prospective adoptive family if that placement shall result in:
- a. more than three foster or prospective adoptive children in the home Yes No
 - b. a total of six (6) children including the foster or prospective adoptive family's natural and adoptive children Yes No
 - c. more than two children under two years of age Yes No
 - d. more than three children under six years of age, except in the case of siblings Yes No
 - e. more than two (2) non-ambulatory children who are incapable of self-preservation Yes No

RECOMMENDATION FOR APPROVAL		
APPROVAL STATUS: <input type="checkbox"/> Regular <input type="checkbox"/> Waiver APPROVAL TYPE: <input type="checkbox"/> Regular Foster Care <input type="checkbox"/> Adoption	Number of Children: Race: Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Either Age Range:	
SUBMITTED BY:		Date:
APPROVED BY:		Date:
		Date:

REQUEST FOR A WAIVER
 (Applies to any type of license/approval)

A waiver may be granted by the commissioner or designee in accordance with the requirements of the Regulations of Connecticut State Agencies §17a-145-159.

Specify the area(s) of substantial compliance or non-compliance and, if required, the alternative plan to achieve compliance:

Approved by	Date:
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**ORDER OF COMMITMENT/EXTENSION
OF COMMITMENT OF CHILD FROM
FAMILY WITH SERVICE NEEDS**

JD-JM-25 Rev. 9-08
C.G.S. § 46b-149 (h) (i), P.A. 08-86

**STATE OF CONNECTICUT
SUPERIOR COURT
JUVENILE MATTERS**
www.jud.ct.gov



Address of Court		Docket Number
Name of Probation Officer		Date of Petition
Name and Address of Child		Date of Birth
Name of Father	Address of Father	
Name of Mother	Address of Mother	
Name of Guardian (If applicable)	Address of Guardian (If applicable)	

At a session of the Superior Court and after a hearing under the provisions of the statutes in such cases, the court finds ("X" one of the following, A, B, C or D below):

- A. By clear and convincing evidence that the child is adjudicated as a child from a family with service needs because the child: ("X" one of the following)
- has without just cause run away from the parental home or other properly authorized and lawful place of abode; C.G.S. § 46b-120(8)(A);
 - is beyond the control of the child's parent, parents guardian or other custodian; C.G.S. § 46b-120(8)(B);
 - has engaged in indecent or immoral conduct; C.G.S. § 46b-120(8)(C);
 - was a truant or habitual truant; C.G.S. § 46b-120(8)(D);
 - while in school, has been continuously and overtly defiant of school rules and regulations; C.G.S. § 46b-120(8)(D); OR
 - is thirteen years of age or older and has engaged in sexual intercourse with another person and the other person is thirteen years of age or older and not more than two years older or younger than the child; C.G.S. § 46b-120(8)(E);
- B. By clear and convincing evidence that the child has been adjudicated as a child from a family with service needs and that the child has violated a valid court order;
- C. By clear and convincing evidence that the child has been adjudicated as a child from a family with service needs and is at imminent risk of physical harm from his or her surroundings. As a result of this condition, the child's safety is endangered and removal from the child's surroundings is necessary to ensure the child's safety;
- and that continuation in the home is contrary to the welfare of said child;
- D. It is in the best interest of the child to extend his or her commitment to the Commissioner of the Department of Children and Families. There is no suitable less restrictive alternative available, appropriate to the needs of the child and the community and the court also finds: ("X" one of the following if A, B, or C is checked above)
- 1. Reasonable efforts to prevent or eliminate the need for removal of the child were made by the state.
 - 2. Reasonable efforts to prevent or eliminate the need for removal of the child from the home were not possible.
 - 3. Reasonable efforts were not made.

It Is Therefore Ordered That: ("X" appropriate box)

- The child, having been adjudicated, is **committed** to the Commissioner of the Department of Children and Families for an indefinite period of commitment not to exceed eighteen (18) months and that the child cooperate in such care and custody.
The Commitment is effective on _____ and will end no later than _____.
- The commitment of the child is to be **extended** for an additional indefinite period of not more than eighteen (18) months. The extension of Commitment is effective on _____ and will end no later than _____.

The Commissioner of the Department of Children and Families must file:

A Motion of Review of Permanency Plan on or before _____.

A hearing to review the Motion and the Permanency Plan will be held on _____.

The Commissioner of the Department of Children and Families will be the custodian of the child according to the statutes in such cases and will provide for the child's well-being as provided by statute.

Name of Judge	Signed (Judge)	Date Ordered
<i>The above and foregoing is a true copy of the order of commitment/extension of commitment.</i>		
Signed (Judge, Clerk)	At (Town)	On (Date)

DISTRIBUTION: Original - Court File Copy 1 - DCF Copy 2 - Probation Officer Copy 3 - Attorney for Juvenile

**PERMANENCY PLAN
ORDER AND REVIEW**

JD-JM-129 Rev. 8-09
C.G.S. §§ 46b-129(k), 17a-112(o), P.A. 09-185 Sec. 3
P.B. § 35a-14

STATE OF CONNECTICUT
SUPERIOR COURT
JUVENILE MATTERS
www.jud.ct.gov



Address of Court		Docket Number
Name of Petitioner	Name of Child or Youth	Date of Birth
Name of Father	Address of Father	
Name of Mother	Address of Mother	
Name of Guardian (If applicable)	Address of Guardian (If applicable)	

Upon hearing on the Petitioner's Motion for Review of Permanency Plan, and upon considering the best interests of the above-named child or youth, including the child's or youth's health and safety and need for permanency, the Court hereby makes the following findings and orders in conformity with the provisions of the Connecticut General Statutes:

I. Achieve the Plan Finding

Upon consideration of the evidence presented:

Reasonable efforts to achieve the permanency plan were made. not made.

II. Permanency Plans

1. *Permanency Plan Goals:*

After considering the best interests of the child or youth, including the child's or youth's health and safety and need for permanency the Court approves the following goal of this Permanency Plan:

A. Revocation of Commitment and reunification of the child or youth with the

Mother Father Legal Guardian With protective supervision Without protective supervision

B. Transfer of guardianship to (Name):

C. Long term foster care with the following relative, licensed as a foster parent

(Name and address):

D. Filing of Petition for Termination of Parental Rights (TPR) and adoption

The TPR Petition shall be filed no later than 60 days after the court approves the permanency plan (date): _____

The Department of Children and Families shall place the child on the photo-list within thirty days of the approval of a permanency plan.

(Continued)

- E. The Commissioner of Children and Families has documented a compelling reason why it would not be in the best interest of the child or youth for the permanency plan to include the goals in subparagraphs (A) through (D) above.
- Placement of the child or youth in an independent living program.
- Long term foster care in the home of (Name): _____ is hereby approved.
- Another planned permanent living arrangement: _____
- F. The court does not approve the permanency plan and the Petitioner is ordered to submit another permanency plan no later than: _____ and a hearing on the plan will be held on: _____.
- (date)* *(date)*
- The court consolidates the permanency plan hearing with the hearing/trial on the _____ that will be held on _____.
- (date of hearing/trial must be within twelve months of the date of the removal of the child or youth from the home)*

2. *Permanency Plan Due/Hearing Dates:*

The Commissioner of Children and Families shall file:

A Motion for Review of Permanency Plan on or before: _____.

(date)

A hearing to review said Motion and said Permanency Plan shall be held on: _____.

(date)

Name of Judge	Signed (<i>Judge</i>)	Date of Order
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The above and foregoing is a true copy of the order and was mailed to the Commissioner of Children and Families.

Signed (<i>Judge, Assistant Clerk</i>)	At (<i>Town</i>)	On (<i>Date</i>)
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Memorandum

To: Office of Foster Care and Adoptive Services (OFAS)
Barbara Reese, Director of Revenue Enhancement Division
Greg Messner, Chief Financial Officer
Stacey Gerber, Bureau Chief of Child Welfare

From: Tom Dwyer, Director

Date: September 1, 2009

Subject: Eligibility review of Connecticut's Title IV-E foster and adoptive care program.

As you know, the Children's Bureau (CB) of the Administration for Children and Families (ACF) conducted a subsequent primary eligibility review of Connecticut's Title IV-E foster care program during the week of April 6, 2009. The purpose of the review was to determine if Connecticut was in compliance with the child and provider eligibility requirements (45 CFR §1356.71 and §427 of the Social Security Act). The cases of our providers (foster/adoptive) were reviewed to ensure that the foster or adoptive home in which the children were placed had undergone a required criminal records and/or safety checks and were fully licensed or approved for the period under review.

Of the 80 cases reviewed, 14 cases were determined to be in error for either part or all of the review period. Since the total number of error cases exceeded four, the Children's Bureau determined that Connecticut is not in substantial compliance. All area office staff, managers, supervisors and social workers will adhere to all licensing procedures to include;

1. Complete licensing process in a timely and accurate fashion; meet requirements for renewal on a consistent and timely basis; and avoid gaps in licenses.
2. Complete all required checks (state and local police searches by name and date of birth, State and FBI fingerprint searches, and LINK / CMS checks) prior to initial licensure;
3. Include all safety documentation in hard copy files and records.
4. Enter the related necessary safety information in SACWIS in a timely, accurate, and consistent fashion.
5. Consistently update SACWIS with timely and accurate data regarding both the safety checks and the dates they were requested and returned, along with the results.
6. Complete all required checks (state and local police searches by name and date of birth, State and FBI fingerprint for any household member age 16 or older who has not previously completed them, and LINK / CMS checks) prior to re-licensure; will include safety documentation in files and records; and will enter the related necessary information in SACWIS in a timely, accurate, and consistent fashion.
7. Child Provider Agency Families addresses will be entered in LINK. Area office staff will create all licenses (re-license) for all NAFI and DARE families when 720's are submitted. The department's Child Welfare and Accounting division will match children with these homes ongoingly.
8. In addition each Office of Foster Care Services Program Supervisor will implement a quality assurance system and will on a consistent and periodic basis audit foster and adoptive cases to ensure that all safety checks and license have been completed in a timely and accurate fashion.