

FOSTER CHILD'S NEEDS AND CASE PLAN SUMMARY

Check One: This is a(n): ☐ Initial Placement ☐ Update to the initial DCFS 709 (Within 30 Days)
☐ Replacement ☐ Modification of Needs or Plan
☐ Annual Reevaluation

CHILD/CASE IDENTIFICATION

CHILD'S NAME	SEX	AGE	DATE OF BIRTH	CHILD'S PRIMARY LANGUAGE
CASE NAME	STATE NUMBER	CSIS NUMBER	RELIGIOUS PREFERENCE	
CURRENT FOSTER CAREGIVER NAME	PHONE NO.	DATE PLACED IN CURRENT CAREGIVER'S HOME		
CAREGIVER ADDRESS (Street, City, State, Zip)				

INFORMATION SPECIFIC FOR THIS PLACEMENT

☐ Attach Child's CWS/CMS Case Plan Individual Client Responsibilities (For Update, Replacement or Annual Reevaluation)

See FYI 03-19 for guidance in completing this section.

Regional Center Involvement ☐ No ☐ None Known

☐ Yes Regional Center: _____
 Service Coordinator: _____ Phone: _____

EMOTIONAL/PSYCHOLOGICAL

Comments: _____

BEHAVIOR/SOCIAL

Comments: _____

SEXUAL ORIENTATION/GENDER IDENTITY Does youth self-identify with respect to sexual orientation/
 sexual identity? ☐ Yes ☐ No If Yes, how does youth self-identify?

☐ Gay ☐ Lesbian ☐ Bisexual ☐ Transgender ☐ Questioning ☐ Heterosexual ☐ Other

Comments: _____

EDUCATION (Include name, address, dates of schools attended, grade level, etc.)

☐ IEP Provided ☐ Special Education ☐ DCFS 1399 Provided

Education Rights held by: ☐ Parent ☐ Other If other, whom? _____

Comments: _____

PLACEMENT/DETENTION HISTORY (Reason for Placement and/or detention history)

☐ No Prior Placements ☐ Foster Family Home(s) ☐ FFA ☐ Group Home(s) ☐ Relative ☐ Other _____

Comments: _____

ABILITY OF CHILD TO HANDLE HIS/HER OWN ALLOWANCE AND OTHER CASH RESOURCES

Comments: _____

VISITATION PLAN (Include visitation frequency, schedule, with whom, monitored, include sibling(s) name(s). If the sibling's caregiver gives permission, include the caregiver's name and phone number).

Plan: _____

OTHER COMMENTS (Include child's likes, dislikes, other special needs, formula, etc.)**HEALTH AND EDUCATION PASSPORT (HEP)**

- ☐ **FOR INITIAL PLACEMENT:** HEP information given to Caregiver on: _____.
- ☐ **FOR UPDATES TO THE INITIAL DCFS 709 (Within 30 Days):** HEP given to Caregiver on: _____.
- ☐ **FOR REPLACEMENT:** HEP information including additional medical and education information from prior placement, given to Caregiver on: _____.

COUNTY OF LOS ANGELES

DEPARTMENT OF CHILDREN AND FAMILY SERVICES

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FOSTER CHILD'S NEEDS AND CASE PLAN SUMMARY

The attached Health and Education Passport contains the following information. Annotate the HEP as needed. Explain any missing information.

		Check if Information available on HEP				
A. HEALTH CARE PROVIDERS	Name	Address	Phone	Date last seen	If not available, explain	
Child's Physician:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Child's Dentist:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

B. ALLERGIES (List all known food, drug and other allergies and reaction)

☐ None Known ☐ Yes, explain ☐ No

Comments:

C. IMMUNIZATIONS

☐ Yes ☐ No, explain

Comments:

D. MEDICAL/PSYCHOLOGICAL PROBLEMS (Significant past/present or chronic conditions)

☐ None Known ☐ Yes, explain ☐ No

Comments:

Indicate if the following information is currently available in the Health and Education Passport. Provide an explanation for any missing information.

Date Diagnosed	Primary Diagnosis(es)	Contagious/ Infectious	Medication(s) Prescribed/Medical Equipment/Tx Plan	Date Medications Discontinued
<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

(If no, explain)

Reviewed and Approved by SCSW:

Print SCSW's Name _____ Office Address _____ Phone _____

SCSW'S Signature _____ Date _____

Caregiver reviewed, understands and agrees to support the child's case plan as described above; has determined the child is compatible with others in the home. Caregiver agrees to keep all of the child's case information confidential and understands that unauthorized disclosure could result in a fine up to \$1,000. Caregiver acknowledges receipt of the Health and Education Passport with the above information included or an explanation of why the information is not included.

Caregiver's Signature _____ Date _____

Print CSW's Name _____ Office Address _____ Phone _____

CSW'S Signature _____ Date _____

LOS ANGELES COUNTY SUPERIOR COURT
JUVENILE COURT VISITATION COMMITTEE

FAMILY VISITATION GUIDELINES

JUVENILE DEPENDENCY COURT PROTOCOL
FOR DEVELOPING FAMILY VISITATION PLANS

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INTRODUCTION/SUMMARY

In June, 2005, the Los Angeles County Juvenile Dependency Court convened a committee to create visitation guidelines for the County of Los Angeles. The Court recognized the pivotal role that visitation plays in the reunification process, the importance of considering child development issues in relation to visitation, and the lack of a cohesive system for creating effective and appropriate visitation plans.

The Visitation Guidelines Committee reviewed numerous documents in preparing these protocols (see attached bibliography). The Drafting Subcommittee consisted of community stakeholders from throughout the juvenile court system with expertise in policy, social work, and training, including a number of representatives from the Department of Children and Family Services (DCFS).

The resulting protocols provide a cohesive system for creating family visitation plans (consistent with court orders) designed and later re-assessed in team meetings that include all of the people affected by visitation.¹ These plans must be specific in nature (as to time, location, transportation arrangements, and activities), taking into consideration the purpose of the visits, the strengths and needs of the parents and children, the role of the supervisor (if any), alternatives to in-person visitation, and a myriad of other issues that are outlined in detail in this document.

At the time of detention, DCFS needs to evaluate what visitation/contact is appropriate and create an initial plan for such visitation, preferably through a team process. At the initial detention hearing, the Court will usually make general visitation orders. A detailed family visitation plan, consistent with the more general court orders, will need to be created by a Family-Centered Team involving as many participants as appropriate (including parents, relatives, caregivers², children, and service providers). Whenever feasible, this plan should be created prior to the disposition hearing, and a copy should be provided to the Court. As the case progresses and placements change, the plan will be modified, including liberalization of visits, when warranted.

These guidelines are adopted with the understanding that full implementation will require DCFS protocols to be drafted that are consistent with this document, training will have to be developed, forms will have to be created, and resources will need to be identified. Additional efforts of the Visitation Guidelines Committee will focus on identifying resources to help facilitate visitation, and ensuring sufficient training of Children's Social Workers. While DCFS will be responsible for training social workers and caregivers, the Committee currently envisions the creation of a team to design cross-training of the other dependency system stakeholders (e.g. attorneys, judicial officers, CASA staff and volunteers).

¹This team based approach was proposed in the Family Reunification Report, the product of a work group convened by the Los Angeles County Commission for Children and Families and DCFS in 2004.

² For the purposes of this document, the term "caregiver" includes relative caregivers, foster parents, foster family agency staff, and group home staff.

PURPOSE/PHILOSOPHY STATEMENT

These guidelines provide specific tools, protocols, and strategies for ensuring that planned and purposeful visitation occurs for children and families served by the Los Angeles County Child Welfare System. Supported by research, best practice standards and legal statutes, visitation serves as the most essential service element for these families towards achieving the outcomes of safety, permanence and well-being. More specifically, visitation is the most critical factor in ensuring and supporting safe and timely re-unification for children and their birth families as the primary permanency option. Its central and fundamental place amid the array of services and supports to at risk families cannot be understated.

The success of visitation is contingent upon every involved party valuing the importance of the visitation's purpose. This document provides guidance to (and sets standards for) those individuals and groups who play key roles in supporting families and is based on the following principles/values and themes:

- The law (Welfare and Institutions Code ("WIC") sections 300 and 308) provides specific guidance for developing, implementing and monitoring visitation plans and shall be the primary point of reference in the development and implementation of visitation plans and protocols.
- While recognizing the statutory authority and mission of the Juvenile Court and DCFS; community stakeholders, partnering agencies and families share responsibility and accountability for outcomes. Consistent with emerging/best practice, such outcomes are more readily achieved through "team based" approaches to decision-making, assessment, planning and support. Therefore, team based approaches to developing and updating *Family Visitation Plans* (FVPs) are strongly referenced in this document.
- In delivering child welfare services, priority consideration should always be given to the delivery of community and family based interventions that allow children to safely remain with their families and in their communities. The provision of out-of-home care is always a last resort when these in-home services and interventions cannot adequately ensure child safety.
- When out-of-home care is needed, it must serve as a goal directed service to achieve safety and permanency for children in environments where essential connections for children are maintained. Therefore, in the placement process, any and all efforts shall be made to maximize and maintain a child's healthy connections with family, culture, community and school-of-origin. This includes the placing of siblings together and supporting healthy sibling bonds, unless in so doing, child safety is compromised.
- When out-of-home care is necessary, visitation should serve as a family-centered, family empowering activity to assess, maintain, strengthen and re-build healthy family and community connections while reducing identified risks. It not only serves to maintain contact/access between parents and children, but allows family members to practice and demonstrate new skills/behaviors that are needed for them to safely be together. As such, visitation plans and activities should be inexorably linked to a uniquely tailored Case Plan that clearly identifies outcomes for the family, builds on their strengths and resources, and meets specific child and family needs. Across time, if re-unification is found not to be possible, visitation allows parents, children and caregivers to be more directly and actively engaged in the concurrent planning process to support timely development and activation of an alternative permanent plan.
- Visitation plans developed with and for family members (including parents, siblings and other

relatives) should reflect the unique child and family situation based on their place in the continuum of service delivery and juvenile court process. They should also include a wide range of contact and access formats from face-to-face visitation to any and all other forms of written, telephonic, email, and/or video contact. Where appropriate, visitation should also include significant others who have a meaningful and supportive relationship with the child and family and who may also play a key role in achieving case goals.

- These guidelines assume that a determination has been made that visitation is in the best interests of each child and will not negatively impact the child's physical and/or emotional well-being. When visitation is appropriate, the visitation plan should be specifically tailored to the particular family and care should be given at all times to protect the child from physical and/or emotional harm.

As Family Visitation Plan are implemented, it is the shared responsibility of those working with the family to monitor implementation, providing feedback and working together to address specific issues and concerns regarding the quality, timeliness and quantity of visitation that occurs for a family.

TEAMING PROCESS

Family-Centered Team-Decision Making ("FTDM") is a collaborative concept in which the Department of Children and Family Services ("DCFS") staff, family members, caregivers and community service providers work together when any placement decision is contemplated, or when it is determined a team process is appropriate (see FTDM document). Once a child is removed from his/her parents, the CSW is first and foremost required to ensure that the child is safe. At the same time, the CSW is also charged with securing the least restrictive, and most appropriate, out-of-home placement for the child as well as preserving the child's familial and community connections. Under existing DCFS policy, the CSW should call for a TDM or a FGDM to help facilitate a discussion around keeping the child safe and future case planning. Attention to keeping the child in his/her school-of-origin is also part of the placement decision to ensure educational stability and maintain consistency in the child's academic learning. Given these mandates, the CSW is in a unique position, with the information obtained at the team meeting to memorialize and prepare effective Family Visitation Plans ("FVPs"). At the initial TDM, the first visit is arranged and the CSW develops the initial visitation plan based upon the information from the TDM. Similar formats can also be used to modify FVPs.

Throughout this document, **Teaming Process (Team)** is a generic term that includes, but is not limited to: (1) **Team Decision-Making (TDM)**; (2) **Family Group Decision-Making (FGDM)**; (3) **Permanency Planning Conferences**; (4) **Family Conferencing**, and; (5) **Meetings convened to specifically plan visitation**. Moreover, Teams are an integral part of such processes as **Point of Engagement ("POE")** and **Multidisciplinary Assessment Teams (MAT)**. The type of Team utilized will depend on the needs of the family as well as on the nature and stage of the dependency case.

A team process should be used for discussing, updating and troubleshooting of any FVP. Teams should be convened at each of the below-listed dependency case stages and/or whenever a child is removed or replaced, as such placement decisions directly affect visitation

Each Team, with the exception of FGDM, should include the following members³:

- Team Facilitator
- DCFS Children's Social Worker (CSW), Emergency Response Worker and/or Supervising Children's Social Worker.
- Parents/Legal Guardians
- Caregivers (including Residential Facility Representatives and FFA Personnel)
- Children 10 years of age and older, unless inappropriate

³ Inability to convene all principle members of the TEAM shall not delay visitation, especially in the early stages of a dependency case. Efforts shall be made to notify these members of the results of the team meeting.

Additionally, every effort should be made to include the following individuals where appropriate:

- Children under 10-years-old
- Siblings
- Relative and Non-Related Extended Family Members and Support People (e.g. clergy, childcare providers, medical or mental health providers, family friends, significant others, or other service providers known to the family.)
- MAT Providers
- HUB Evaluators
- Probation Officers
- Community Service Care Providers
- Public Health Nurses
- Educators
- Regional Center Personnel
- Child Care Providers
- Community Partners
- DMH Personnel
- School Personnel
- Community Family Preservation Network Representatives
- CalWORKS Staff
- Parent Advocates
- Child Advocates or Court Appointed Special Advocates ("CASAs")
- Medical Placement Unit Representatives
- START Supervisors
- Family Preservation Representatives

It is important that Teams include a multitude of players and that the membership of the team is fluid and responds to the needs of the family in relation to the stage and objectives of the dependency case.⁴

Team meetings are arranged by the DCFS Scheduler. The Scheduler is responsible for contacting all parties relevant to the dependency case as well as inviting community members not currently involved with the family to the Team meeting. Meetings should be scheduled in neighborhood locations close to the child's family in order to maximize attendance by family and community support providers.

⁴ For a complete description of TEAM Meeting participants and their respective roles, see *DCFS Procedural Guide 0070-548.03 Team Decision-Making (Released on 12/21/05)*

COURT ORDERS

Oftentimes, the judicial officer makes general visitation orders, such as “supervised visits approved by a DCFS approved supervisor, at least twice per week, with DCFS discretion to liberalize.” The Court, as often as possible, will provide DCFS with the discretion to liberalize visits including overnights and weekends in order to support reunification and the developmental needs of the children. The FVP is envisioned as a detailed implementation of the Court’s orders. While the Team’s Family Visitation Plan (FVP) at the time of the disposition hearing will be submitted to the dependency court judicial officer, the dependency court is the final decision maker. The FVP must be consistent with dependency court orders (as well as any criminal court orders.) If the dependency court makes orders that are inconsistent with the FVP, then the procedures outlined below, in “Changes to the FVP,” should be followed in order to bring the FVP into compliance with the relevant court orders. The social worker should ensure that visitation is consistent with all court orders until the FVP has been changed.

DEPENDENCY CASE STAGES

Stage 1: Pre-Detention Hearing Visitation (within the initial 72 hours following removal)

- ☐ Team meeting is held either prior to the child's removal from the home or when the child has already been removed, by the end of that business day or within 24 hours prior to the detention hearing.

Stage 2: Detention Hearing/Pre-Disposition Visitation Plan

- ☐ A Team meeting is held following the Detention Hearing to update the Family Visitation Plan (FVP) that will be in effect until the Disposition of the case.

Stage 3: Disposition Visitation Plan

- ☐ A Team meeting to develop a recommended FVP to be presented at the Disposition Hearing.

STAGE 1: PRE-DETENTION HEARING FAMILY VISITATION PLAN (INITIAL 72 HOURS FOLLOWING REMOVAL)

Children, parents and siblings shall have access to each other as soon as possible and as frequently as possible following removal from a parent, when safe.⁵ This is important to strengthen the family bond and lessen trauma to the child(ren). So that children do not feel isolated from their families upon being placed in protective custody, children should have the opportunity to visit with their families in a face-to-face meeting prior to their first court date, but in any event no later than 72 hours following removal, especially with children under 5 years of age. The CSW shall make a diligent and reasonable effort to ensure regular telephone contact prior to the detention hearing, unless that contact would be detrimental to the child. Such phone calls should take place as soon as practicable, but not later than 5 hours after the child is taken into custody. The child should be permitted to maintain regular phone contact, unless it is determined detrimental to the child or otherwise inappropriate, as discussed below. Hence, when safe, it is the responsibility of the CSW to facilitate both the face-to-face visits and phone calls with the child and his/her family as soon as possible. Siblings should be kept together, where appropriate. If siblings cannot be placed together, every attempt to facilitate visitation during this stage should be made.

Visitation and/or telephone calls should not be facilitated by the CSW if such contact is not in the best interests of the child. Before making any determination to prohibit visitation, the CSW should first evaluate whether a supervised visit would alleviate concerns regarding the contact. The CSW should discuss with parents the parameters of the initial visitation during this stage before the visitation is disallowed. Reasons not to permit visitation or contact may include: (1) the CSW has good reason to believe the parent may coach or otherwise harass the child; (2) the child was subjected to severe physical abuse; (3) the child was the victim of sexual abuse; or (4) the child does not wish to visit. These factors do not necessarily preclude visitation; safeguards that can be put in place and detriment to the child must be considered in making such a decision.

⁵ At this time, DCFS' Point of Engagement process is uniquely suited to provide Team Decision Making in regards to the pre-detention hearing visitation plans.

Protective Custody Family Contact Timeframes	
<i>First 24 Hours</i> Child removed from parent/legal guardian and relocated to placement.	As soon as child is situated in a placement, the CSW should work to immediately facilitate contact between the child and the family. Most likely, this will be in the form of a phone call within 5 hours.
<i>24-48 Hours</i> Child secured in placement.	Telephone contact between the child and family is mandatory for those children old enough to communicate via phone when determined that such contact is safe. Moreover, the CSW shall attempt to arrange for a face-to-face visit. For children not old enough communicate via phone, extra effort shall be made to arrange for a face-to-face visit.
<i>48-72 Hours</i> Child secured in placement and detention hearing is pending.	The CSW shall facilitate a face-to-face visit when determined that such contact is safe. It is mandatory for children to have the opportunity to visit with their families (parents and siblings) before their first court date when determined that such contact is safe.

Note that special attention should be given to arranging face-to-face visits between younger children and their families. Not only do younger children have a more difficult time communicating by telephone, but children under four years of age are not required to be in court. Thus, they may not have the opportunity to visit with their parents on the day of the hearing.

While the focus at this stage of the dependency case is to ensure family visitation and/or contact as soon as the child is removed from the home, the CSW should be assessing certain factors in anticipation of the development of a Pre-Detention FVP. First, the CSW must evaluate potential visitation supervisors if he/she feels that supervision for family visits is needed. The CSW should pay special attention to the ability of the child's caregiver to supervise visits as well as to provide transportation or a meeting space for the family visits. In addition, the CSW should ensure that the child's placement does not obstruct the family's ability to participate in visitation.

STAGE 2: DETENTION HEARING/PRE-DISPOSITION FAMILY VISITATION PLAN

A detailed proposed Family Visitation Plan should be attached to the Detention Hearing Report that notes the caregiver's and CSW's statements regarding their ability to transport, supervise or otherwise facilitate visitation and phone calls. During the Detention Hearing, the Court shall evaluate all available information, including the plan developed at the most recent Team meeting, and formulate visitation orders that would be in effect until the Disposition Hearing. Based on these orders, the parties present at court, physically or by phone/email, would develop the most specific visitation plan possible. During this planning time, participants would list any unresolved issues to be addressed at the Family-Centered Team meeting that will occur in the next few days following the Detention Hearing. This process would require more time allotted to Detention Hearings, the possibility of cases being recalled for the parties to provide the Court with the visitation plan, and potentially for CSWs to routinely be on call for Detention Hearings. The visitation plan developed at the Detention Hearing, when appropriate and feasible, shall apply the same framework described below.

DCFS shall convene a Team meeting within five business days of the Detention Hearing. The Team is to further develop a Pre-Disposition Family Visitation Plan that: (1) ensures the child's safety and well-being are not compromised; (2) maintains connections between the removed child and his/her family; (3) allows parents and siblings the opportunity to bond with the child; (4) assesses the risks associated with returning the child to his/her family; (5) builds networks of support to facilitate the child's reunification with the family; (6) addresses resources to facilitate visitation (supervisors, location, transportation, etc.), and (7) considers the scheduling needs of families and other parties.

The Pre-Disposition Family Visitation Plan developed by the Team should include the same factors/considerations discussed below in the "Family Visitation Plan" section. At this stage, it is imperative that the FVP be considered in making placement decisions for the child. For example, the proximity of the child's placement to the parent and the ability of the caregiver to accommodate the FVP should be considered. Given that the Team will most likely be presented with limited information, the FVP produced during this period may not be as comprehensive as the FVP submitted to the dependency court for the Disposition Hearing. However, the Team shall make every effort to thoroughly complete all sections of the FVP.

If the Team finds that visitation is not in the child's best interests, a clear statement disposition visitation is not permitted must be included in the Pre-Disposition FVP. Consider alternatives to face-to-face family visits (phone calls, e-mail, letters) when they pose a threat to the child's safety and well-being. If such contact is appropriate, the Pre-Disposition FVP shall include a schedule regarding when these contacts are to occur and list any conditions placed on the alternative arrangements.

STAGE 3: DISPOSITION FAMILY VISITATION PLAN

The Disposition Family Visitation Plan developed by the Team must incorporate all of the FVP elements noted below. The Disposition FVP will be submitted to the court for the Disposition Hearing. If the dependency court makes orders that significantly alter the Disposition FVP, the Team must reconvene to modify the FVP (see "Court Orders" section). If reconvening the entire Team is not possible, DCFS must bring together the parties affected by the court order as necessary to modify the FVP. Team meetings can also be called to implement specific recommendations after disposition. Team meetings can move forward without all members in attendance so long as reasonable efforts have been made to contact all parties. The CSW must further attempt to reach all Team members not able to attend the meeting via phone, mail, or e-mail to gather feedback and notify all such parties of the Disposition FVP.

FAMILY VISITATION PLAN REVIEW

The FVP will clearly indicate the date the plan is to be reviewed by the Team, and for any Revised FVP to be developed. The FVP must be reviewed at every Team Meeting. At every review, the Team shall examine all information received from the child, parents/guardian, foster parents, group home staff, FFA Social Worker, CSW and visit supervisors before modifying the FVP. The Team shall also consider changes in the child's or family's circumstances or any request made by the child or family in regards to visitation.

POST-JURISDICTION VISITATION PLANS

For cases in which the CSW is recommending termination of jurisdiction with either a family law court order or with a legal guardianship in place, the Status Review Report submitted to the Court should have an FVP attached which makes specific recommendations (days, times, locations, transportation, supervisors, holidays, birthdays).

FAMILY VISITATION PLAN

Prior to the disposition hearing, DCFS shall convene a Team meeting to develop an FVP focused on family reunification. Where a no contact order is issued for a parent or party, such parent or party shall not be included in the FVP until the no contact order is vacated. A no contact order placed for one parent or party shall not affect the inclusion of other family members in the FVP plan. The Team must create a plan specific to the family's needs, yet with enough flexibility to facilitate changes made in court. This plan must be made available to the court on the day of the disposition hearing.

The Team will structure the FVP on the information received from the above-noted pre-disposition visitation plan. Hence, information collected regarding the family's strengths and needs (including barriers to reunification) will be crucial in developing a meaningful FVP. **If, after a conscientious and concerted effort, the team cannot reach agreement on a component of the FVP, the final recommendation will be made by DCFS.**

The FVP must provide the following:

- A visitation schedule, detailing the dates and times the family can visit.
- Length, start/end times (see p. 20 re: exception)
- List resources to be used to meet the visitation time frames
- A visitation location(s).
- Transportation arrangements for children (removed children, siblings) and parents/guardians.
- Arrangements for the child to communicate with parents/guardians by phone, mail, etc. (p.20).
- Any conditions placed on the visitation by the Team or Court to ensure the safety and well-being of the child. These conditions may include the requirement that the visits be supervised or that the parent refrain from discussing the upcoming dependency case.
- Limits: Supervising, Phone, Mail, etc.
- Plan for supervising if applicable
- Supervisor contact information and qualifications (link to Objectives)
- Who are visitors and their contact information
- Who are prohibited
- Visitation Objectives
- List of strengths and needs
- Purpose of each visit and who should attend
- How to handle anticipated problems
- Plan for Specific Situations (see p. 24 & 25)
- Safety Plan
- Children's requests
- Sibling visit plan
- Teen Parents and their children
- Adjunct activities
- Agreed upon Do's & Don'ts
- Visitation Plan Review date
- Signatures showing agreement to the plan

PRELIMINARY CONSIDERATIONS/FACTORS TO CONSIDER

In developing the FVP, the Team shall examine the following:

- Physical/emotional well-being of the child(ren).
- Parents' strengths and needs. The Team shall list the parents' strengths in the FVP as well as any needs (e.g. mental health, drug addiction, parenting skills, developmental delay) for which they require assistance to reunify with their children.
- Parents' obligations. Parents' work, school, treatment and court-ordered responsibilities must be assessed by the Team in developing an effective visitation plan.
- Child(ren)'s strengths and needs. The Team shall examine the strengths as well as any needs (e.g. medical, mental health, developmental) of the child(ren) that need to be addressed to facilitate family reunification.
- Child(ren)'s desires. The FVP shall include the child(ren)'s requests in regards to participating in visitation and ultimately reunifying with their parents/guardians.
- Child(ren)'s obligations. The Team must consider any school, social, treatment or work-related obligations of the child(ren) in developing the FVP.
- Sibling Visitation. The FVP must assess the appropriateness of sibling visitation and include specific guidelines concerning how sibling visitation will be facilitated. The frequency, duration, location, transportation, and type of contact should be detailed in the FVP.
- Pre-removal family activities. The Team must identify how the family spent time together prior to the child being removed from the home, and where appropriate facilitate visits that incorporate the pre-removal activities. Note that these should include school and preschool activities. It should be made clear to all parties that the parent is the Holder of Education Rights, unless these rights have been limited by the court.
- Available resources. The Team must evaluate all resources at the family's and caregiver's disposal to aid in family visitation/reunification and is encouraged to think creatively in developing additional resources. Note that the parents and family members should be afforded opportunities to participate in the removed child(ren)'s school functions and medical visits.
- Child(ren)'s Placement. The child(ren) should reside in the most appropriate placement that best facilitates the goals and objectives of the FVP.
- Caregiver's Needs. The Team must take into account the caregiver's needs, concerns and resources in developing the FVP.
- Case Plan Goals. The FVP should be utilized to assist the family in reaching case plan goals.
- Resources. Availability and limitations.

PARTICIPANTS' CONSIDERATIONS AND RESPONSIBILITIES

In developing the FVP, the Team shall take into account the specific needs of case participants. Moreover, the FVP must clearly define each participant's responsibilities in relation to visitation and clearly connect these responsibilities to the reunification objectives. Such needs and responsibilities should take into consideration the level of supervision required, the continuum of care to be provided to the child and the multitude of parties who can participate in the Team and visitation. The following guidelines, standards, and responsibilities should be considered for each of the following case participants:

In developing the FVP, the Team must assess the following in regards to the child's parent/legal guardian:

- Level of risk posed by parent, if any
- Transportation issues or problems
- Work, school or court-mandated program obligations
- Strengths/weaknesses

- Whether or not the parent is a Regional Center client or otherwise developmentally delayed
- Incarceration
- Institutionalization
- Court-ordered restrictions
- Relationship with caregiver

In developing the FVP, the Team must assess the following in regards to the child(ren):

- School obligations
- Community/extracurricular activities
- Therapy/counseling or other court-mandated sessions
- Child(ren)'s desire to spend time with peers
- Issues with transportation
- Safety with/between proposed visitors, given specific case history
- Child(ren)'s desire to participate in visitation with parents, siblings and other relatives
- Medical appointments or other medical considerations
- Address the child's anxieties and expectations
- Safe environment

In developing the FVP, the Team must consider the following in regards to caregivers:

- Willingness of caregivers to have the visitation occur in the home/facility
- Number of children in the home for whom visitation must be coordinated (not just children of case being reviewed).
- Impact on other children in home
- Transportation
- Space for accommodating visits
- Ability and appropriateness of caregiver to supervise visits
- Restrictions on the visitation the caregiver feels are needed

Team Facilitator

In relation to visitation, the Team facilitator is required to:

- Remain neutral with respect to all meeting participants.
- Model respectful interaction with the family, staff and other participants.
- Create an inclusive meeting environment.
- Manage the Team meeting, and facilitate the development of the FVP.
- Support DCFS best practices and procedures.
- Recognize and appropriately utilize all available resources.
- Guide the team towards generating creative solutions that address and ensure child safety.
- Work to develop a consensus among all Team participants.
- Focus on family strengths.

Parents/Legal Guardians

In relation to visitation or other contact with the child, the parent/legal guardian is required to:

- Ensure the emotional/physical safety and well-being of the child.

- Provide a drug/weapon/violence free environment and not be under the influence of alcohol or drugs during the visit.
- Ensure no unauthorized visitors are present.
- Provide transportation where possible (have a valid driver's license, car insurance and, if needed, a car seat.)
- Take parental role during interaction with child (For example, ask about school progress.)
- Plan and engage in the Team meeting and in between visits
- Plan age appropriate activities in the Team meeting and with the social worker and supervisor, making sure to bring specifically listed items such as food, diapers, special toys or games, and engaging the child(ren) throughout the visit.
- Respond to direction from the visitation supervisor, if applicable.
- Follow any pre-established visitation guidelines developed by the Team.
- Attend visits on time.
- Call as soon as possible to cancel a scheduled visit, but no later than twenty-four hours before the visit.
- Make contact with the child to explain cancellation or other visitation problems, if such contact is allowed.
- If incarcerated or institutionalized, initiate communication (i.e. phone calls, letters, e-mails) in accordance with the FVP.

Child(ren)

The Team will encourage the child(ren) to:

- Participate in the Team meeting to develop the FVP, where appropriate.
- Voice questions or concerns about visitation to the Team.
- List persons who should and should not be included in visitation.
- Discuss visits with the CSW, caregiver, parent, attorney or CASA after the visit.
- Provide information to the Team regarding feelings about on-going visitation and how the FVP should be revised.

Caregivers

Caregivers include foster parents, relative caregivers, FFA and group home staff, and non-related extended family caregivers.

In relation to visitation, caregivers are required to:

- Ensure the well-being of the child including the provision of emotional support.
- Comply with the finalized and/or court approved FVP.
- Participate in the Team meeting to develop and review the FVP as appropriate.
- Be familiar with the case plan.
- Inform the CSW of any problems in complying with the FVP (scheduling conflicts, etc).
- Respect the importance to the child of his/her family, and make every effort to ensure communication/interaction between the child and the family to the greatest extent possible. Where appropriate, this communication/interaction should include phone calls, mail and e-mail.
- Accommodate adjustments to the FVP to the greatest extent possible.
- Maintain contact with the CSW regarding visitation progress. This should include an objective description of the child's behavior before and after visitation.

- Maintain objectivity, and remain committed to the permanency plan.
- Share with the parent any changes or concerns related to the child's health and education.
- Prepare the child for visits. This should include describing the location of the visit to the child and what type of contact the child can expect during the visit to the greatest extent possible.
- Dress child in accordance with visitation facility (e.g., jails, drug treatment facilities) regulations as informed by the CSW or the facility.
- Provide transportation as negotiated in the FVP.
- Notify CSW of any unplanned contacts between the child and parent or caregiver and parent.

DCFS CSW

In developing and implementing the FVP, the CSW shall:

- Convene the Team meeting.
- Explain the Team meeting process to parent, caregiver, and child.
- Clearly identify the factors that required DCFS intervention (SDM assessments).
- Determine the need for supervised visitation, the type of supervision required⁶, create a detailed supervision plan, and outline the roles and duties of the person providing the supervision.
- Identify, evaluate and approve visitation supervisors prior to the Team meeting, if need is anticipated.
- Articulate relevant family's strengths to be tapped and/or utilized during the visit, and document in the FVP.
- Collaboratively plan, with the parents, age appropriate activities for the parent(s) and child(ren) to participate in during visits.
- Ensure that the FVP is understood by the parent(s) and implemented as designed by the Team.
- Prepare parents for the range of reactions children may have to visits.
- Address barriers to the FVP's implementation.
- Work with Team to modify the existing FVP to conform to subsequent court orders.
- Explain facility requirements to caregivers if the child(ren) will be visiting incarcerated or institutionalized parents (e.g. dress code, gifts, food).
- When facilitating a visit, prepare the child for the visit. This should include describing the location of the visit to the child and what type of contact the child can expect during the visitation to the greatest extent possible. This is especially important in regard to children visiting incarcerated parents. At the end of the visit, prepare the child to transition back to the caregiver.
- Explain to the caregiver any specific requirements (i.e. dress code, gifts, food) the child must abide by during visits. This is especially important in regard to children visiting incarcerated parents.
- On an ongoing basis, evaluate the FVP through direct interviews with visitation participants and review of the visitation supervisor's logs, including determining whether the objectives are being met and any need to update the objectives.
- Inform the court of visitation progress, as detailed in the Dependency Court Reports memo on the required contents of DCFS reports, and provide the court with a copy of any visitation supervisor's logs.
- Evaluate and review the FVP at all Team meetings.
- Describe specific topics not to be discussed during visitation, such as the court case or making unrealistic promises.

⁶ Throughout this document, the term supervisor is intended to cover the full range of supervisory roles, from a parenting coach to an observer whose only role is to ensure that a parent is not inappropriate during a visit. The level of supervision required may shift along the continuum throughout the course of the case. The TEAM must clearly define what type of supervision is needed at each stage of the case.

- Give parents suggestions for what to say at the beginning and end of the visit and topics to discuss with child(ren) during the visit.
- Ensure caregivers are aware of their role in family reunification, of the parents' strengths and how visitation supports family reunification.
- Contact affected parties in regards to scheduling conflicts and, where necessary, reconvene the Team to resolve these conflicts.
- Provide a copy of the FVP, as well as any changes to the FVP, to all affected parties, including parents, children 10 year of age and older, attorneys, caregivers and the court.
- Provide relative caregivers with referrals to kinship resource centers, as appropriate.

Visit Supervisors

In fulfilling their obligations pursuant to the FVP, visitation supervisors are required to:

- Ensure the physical and emotional safety of the child.
- Comply with the FVP and court orders.
- Understand his/her role as supervisor in regard to the relevant case issues and purpose of visits in relation to the case plan.
- Place no other restrictions on the visitation other than those already established by the Team, except in the case of an emergency when the child's safety is jeopardized.
- Encourage positive interaction between child and family.
- Model appropriate parent-child interactions.
- When outlined in the FVP assist parent with parenting skills. If the FVP requires such coaching, then the coach must be qualified and have sufficient training. Describe any problems with parent's skills (away from the child) where an objective of the visitation is to build parenting skills.
- Develop a signal for the child to use to indicate discomfort or fear during the visit.
- End the visitation session should the child experience undue discomfort or high anxiety.
- Terminate the visit if visiting party will not conform to the guidelines established in the FVP. Give one warning before ending visit, where appropriate.
- Complete Visitation Supervision Log at the end of each visit. Provide a copy of this log to the CSW.

Siblings

Where appropriate, siblings shall:

- Participate in the Team meeting to develop the FVP.
- Voice questions or concerns about visitation to the Team.
- Discuss visits with the CSW, caregiver, parent, attorney or CASA after the visit.

JUDICIAL OFFICERS' AND ATTORNEYS' CONSIDERATIONS AND RESPONSIBILITIES

Judicial Officers

Judicial Officers:

- Set minimum standards for visitation.
- Review the FVP and modify if necessary.

Attorneys

In regard to the development and implementation of the FVP, all attorneys involved in the dependency proceedings have an obligation to communicate their client's concerns regarding visitation to the dependency court and other parties within the confines of the attorney/client privilege. All attorneys should communicate other parties' concerns to their own client where appropriate and bring their own client's concerns to the court's attention. Additionally, specific attorneys have the following responsibilities in regards to the FVP and visitation:

- Parent's Attorney
 - Maintain contact with client.
 - Communicate visitation plan and guidelines to the parent.
 - Answer any questions the parent may have with respect to the FVP.
 - Review the FVP to ensure it is consistent with court orders.
- Child's Attorney
 - Provide input to the CSW for the development of the FVP.
 - Take an active role in implementing the FVP, when appropriate.
 - Relay court-ordered visitation or responsibilities to both the child and his/her caregiver.
 - Discuss with the child and his/her caregiver the transportation arrangements, visitation location and visitation purpose as outlined in the FVP.
 - Review the FVP for adequacy in meeting the child's needs.
 - Review the FVP to ensure it is consistent with court orders.
- County Counsel
 - Review the FVP to ensure it is consistent with court orders.

FAMILY VISITATION PLAN ELEMENTS

Visitation Objectives (reason for each visit)

After evaluating the strengths and needs of the family, the Team must identify the family's barriers to reunification and develop visitation objectives designed to overcome each barrier. For example, possible reasons for visitation may include: (1) establishing and/or strengthening the parent-child relationship and securing the family bond; (2) instructing parents in child care skills; (3) helping parents gain confidence in meeting the child's needs; (4) identifying and assessing potentially stressful situations between parents and their children; (5) providing time for the family to play together or otherwise spend time with one another; and (6) helping families transition to a family permanency plan.

A statement must be made in the FVP describing the purpose for the family visit and connection to the needs of the family.. Note that the visitation objectives may change over the life of the dependency case.

Frequency of Visits

Visitation frequency should correspond to the child's age and developmental stage and be consistent with the family's permanency goal. The frequency guidelines in the chart below pertain to face-to-face visits. While additional communicative means such as phone calls, letters, etc. can and should be used to strengthen the bond between parent and child, they are not to be used as an alternative to face-to-face visits. The Team shall utilize the following developmental guidelines in establishing the frequency and duration of visits:

Developmental Visitation Guidelines	
Age	Frequency/Duration of Visits
0 – 6 Months	<ul style="list-style-type: none"> Daily visits are optimal. Families should visit at least three times a week for 30-60 minutes. During this developmental period, the focus should be on short, frequent visits.
6 – 12 Months	<ul style="list-style-type: none"> Families should visit at least three times a week for one hour. Children in this developmental period begin to attach to caregivers. Therefore, visits should be scheduled so as to verify the parent as the child's primary caregiver.
1 – 4 Years	<ul style="list-style-type: none"> Families should visit at least twice a week for 1 1/2 hours. Separation during this timeframe can create developmental problems for the child. Potential separation anxiety necessitates frequent visits for a longer duration to affirm the parent's role as primary caregiver. All desires from verbal children should be solicited and considered.
5 – 12 years	<ul style="list-style-type: none"> Families should visit at least once a week for two or more hours. Children in this developmental stage can tolerate more time between visits. Note that once the child starts school, the visitation plan should be expanded so that the parent can attend school/community-based activities as well.⁷
13 – 15 Years	<ul style="list-style-type: none"> Families should visit at least once a week for two or more hours. The Team must take into consideration the child's desires.
15 – 18 Years	<ul style="list-style-type: none"> No recommendation regarding the specific frequency/duration of visits. Child's desires should be strongly considered in creating the FVP.

⁷ Note that a parent's participation in a non-interactive activity (such as watching the child's baseball game or attending a music recital) does not replace a family visitation session and is not considered a visit. However, such activities are strongly encouraged.

Unless the FVP specifically states why the above guidelines are not feasible, the frequency and duration of visits are to be defined by the age of the child, as indicated in the chart. The Team must also take into consideration the developmental level of the child. With all verbal children, the Team is required to solicit the child's desires regarding visitation and to take such desires into consideration as appropriate.

Visitation must include time for the parent to focus exclusively on the child. To supplement this direct focus time, the Team should consider additional contact time during children's extracurricular activities (such as sporting events), doctor's visits, school meeting, preschool sessions and IEP meetings where appropriate. The parents' attendance at such meetings and events does not replace a visitation session.

The FVP should specifically state the date that visitation is to begin, the length of the visits and the start and end time of the visits. If specific times cannot be set, the FVP should list the person responsible for arranging the visits. The FVP should also list the necessary resources to facilitate visitation. **Note that the frequency and duration of the visits should increase as the family moves toward reunification. The FVP should also anticipate the need for flexibility in start and end times (such as giving the supervisor discretion to extend a visit to allow the parent to finish reading a book to the child).**

Additional Visitation Contacts

The FVP should include additional ways (alternative communication means) to facilitate contact between the child and family members as well as other significant people in the child's life, where appropriate. These means may include, but are not limited to:

- Telephone calls (including the provision of calling cards)
- Letters
- E-mails or instant messaging
- Exchange of photographs and video tapes
- Videophone sessions
- Adjunct activities

Note that these alternatives should only be used in addition to face-to-face visitation or where face-to-face visitation compromises the child's safety or well-being. As with face-to-face visitation, the FVP shall include the times, frequency, duration and supervision level required for these alternative contacts.

In general, children have the right to private telephone calls. In addition, a child's outgoing or incoming mail should not be opened. However, if the Team determines that these contacts are detrimental to the child, they can be specifically limited in the FVP.

Persons to Participate in Visitation

The FVP must clearly identify who is to participate in the visits. Moreover, the FVP must list contact information for every visitation participant. A list of all persons prohibited from the visitation should be included in the FVP. Note that different participants will attend each visitation depending on the type of visit that is to be facilitated. For example, if a purpose of the visit is to teach parenting skills, the Team may decide that only the parent and the child should visit. However, if the purpose of the visit is to facilitate family bonding, all family members may be encouraged to attend the visit.

Visitation for Teen Dependent Parents and their Children

When the parent is a dependent of the court, and the parent and child are either not residing together or are residing together with restrictions placed on the parent's contact with the child, the FVP should address

issues specific to teen parents. The FVP must provide for both access and opportunity for meaningful visitation, as appropriate.

The FVP for teen parents should take into consideration the existing or planned Shared Responsibility Plan, pursuant to WIC 362.1.

The supervisors for teen parent visits should understand that often teens interact with their children differently than older parents and that the behavior of teen parents should be evaluated with that understanding.

Sibling Visitation

Given the strong bond between most siblings, the Team must facilitate sibling visits and the FVP must provide for regular and frequent visitation between siblings, unless inappropriate. Reasons to not permit visitation or contact with a sibling may include: (1) the CSW is concerned that the sibling may coach or otherwise harass the child; (2) the child was subjected to severe physical abuse at the hands of the sibling; or (3) the child was the victim of sexual abuse by the sibling. Before making any determination to prohibit visitation, the CSW should first evaluate whether a supervised visit would alleviate concerns regarding the contact. In cases where one child of the sibling group is placed in an adoptive home, sibling contact should be attempted, as appropriate.

The FVP must include a statement regarding how sibling visitation will be facilitated. Whenever possible, siblings should visit together within the context of whole family visitation. However, where parents cannot visit with the removed child, then sibling only visits shall be scheduled. The Team can help to maintain on-going contact between siblings by recommending:

- that one CSW be assigned to the sibling group
- placement of the child within his/her home neighborhood or home school district
- placement of the sibling group with the same caregiver whenever possible
- that children be permitted to take shared vacations
- joint therapy sessions for siblings
- siblings be enrolled in the same childcare or after school programs.

Type of Supervision

The FVP shall include the type of supervision, if any, required during the visitation. Unless the FVP specifically states the reasons why supervised visits are required, or the court otherwise orders visits to be supervised, all visits should be unsupervised.. Where the Team finds that supervised visits are necessary, the Team shall document in the FVP how supervision will ensure the child's safety and support the objectives of the FVP. The reasons for requiring supervised visits may include the need to: (1) facilitate interactions between the parent and the child; (2) model positive parenting behavior; and (3) mediate conflicts between the parent and child. Visits should be supervised where the child's safety and well-being are compromised. Specifically, supervised visits should be considered where: (1) a family member is physically/emotionally abusive to a child; (2) a parent makes unrealistic or inappropriate promises to the child; (3) the child is afraid of being alone with the parent; (4) the child was removed for sexual abuse and/or severe physical or emotional abuse, and a therapist or social worker has not indicated that unsupervised visitation is appropriate; (5) the child is at risk of being abducted; (6) a parent has previously coached the child, (7) a parent tests positive for drugs; and (8) the child reacts negatively to visitation.

Where supervised visitation is required, the FVP shall include arrangements for the supervision, and, when possible, list the name and contact information of the supervisor. The supervisor shall be an unbiased person. The FVP shall describe the qualifications of an approved supervisor and link these qualifications to

the visitation objectives. In addition, the FVP should set forth any negotiated and/or required visit conditions established by the Team and include any agreed upon "do's and don'ts" (including issues around food, candy, gifts, books and toys). Every effort should be made to ensure that the same supervisor is used at every visit. Finally, at the end of every visit, the supervisor shall assist the parent in preparing for the next visitation session (e.g., time, location, restrictions in FVP, items to bring, etc.).

Visit Location

The visit location should be as family-like as possible. The visitation environment should be the least restrictive, most appropriate setting to carry out the activities toward achieving the objectives of the FVP. The Team should first consider the family home. Where children cannot visit in the home, other locations may include the caregiver's home, relatives' homes, parks or shopping malls, and FFA or DCFS offices (only when no more suitable location can be identified).

When selecting a location for visits, the Team must consider the suitability of the environment for developmentally related activities and the required transportation involved. The Team should take into account the parents' attitudes and feelings about the child's caregivers as well as the caregiver's willingness and capacity to be involved in visitation.

Visitation Problems

The FVP shall establish procedures for handling circumstances in which problems arise with the visitation. For example, in the case where parents are uncooperative visitation participants (this may include times in which the parent is absent frequently from visits or exhibits destructive behavior during the visits), the FVP should outline procedures to mitigate the effects on children (such as terminating the visits or, in the case of absenteeism, scheduling future visits within the child's daily activities or at the home of a relative so the child can still visit with family). Also, the FVP must take into consideration the ramifications of cancelled visits.

Visitation may never be used as a punishment or reward. For example, if a parent cancels a visit or is late, does the parent lose a visitation session, or is the parent allowed to reschedule? What happens when a caregiver cancels a visit? All such circumstances and appropriate consequences shall be described in the FVP.

When conflicts in scheduling, time or location occur, the Team shall consider solutions and alternatives that best facilitate successful visitation between parents and children. At all times, the importance of the partnership between the caregivers and birth parents shall be underscored.

Visiting in Specific Situations

Certain situations may require the Team to structure the visitation sessions, or to disallow any visitation between the child and certain family members. The following chart outlines common circumstances in which the Team must pay additional attention to the design of the FVP.

Circumstance	Team Response in FVP
Incarcerated Parent	<ul style="list-style-type: none"> • The Team shall carefully consider what visitation/contact is appropriate. • Visitation must be facilitated if the facility at which the parent is placed is a reasonable distance from the child's residence, unless such contact would be detrimental to the child. • If face-to-face visits are not feasible or are otherwise inappropriate, the Team shall consider phone calls and/or other communicative means. • The CSW must investigate what the particular facility requires to secure permission for the child to visit, who can accompany the child to visits, and how frequently the child is allowed to visit the parent. The CSW should also inquire as to the facility's policies regarding dress code, gifts and food. Such information shall be brought to the Team. The CSW should also investigate programs in which the parent can remain with the child. • The CSW must explain to the child what he or she should expect during the visit to the facility. • At all times, the Team shall examine the child's feelings in visiting the parent in jail or prison. • The CSW and caregiver shall prepare the child to comply with facility regulations.
Chemical Treatment Program	<ul style="list-style-type: none"> • The Team shall assess the child's feelings about visiting the parent in such an institution. • The CSW shall investigate the facility's visitation policies in order to assist the Team in structuring the FVP. The CSW shall investigate programs where the child can be with the parent during the treatment.
Mental Health Placement or Hospitalization	<ul style="list-style-type: none"> • In determining whether or not visitation is appropriate when the parent is placed in a mental health facility, the Team shall consider the child's desires and needs, the parent's desires and needs, the parent's level of functioning, the specific mental disorder being treated, and the recommendation of the parent's therapist. • Where visitation is appropriate, the CSW shall investigate the facility's visitation policies in order to assist the Team in structuring the FVP.
Domestic Abuse	<ul style="list-style-type: none"> • In cases of violent confrontation between parents, the Team should not schedule visits with both parents together until an intervention or treatment specialist determines that such visits do not pose a threat to any family member. • Safety should be the Team's paramount concern in regard to the child and the domestic violence victim, especially upon initial contact. • Confidentiality regarding residences and contact information should be maintained where a danger is posed by a parent. • The FVP must be consistent with any criminal court orders. Also, the Team shall abide by any restraining orders placed on a family member in developing the FVP. • The Team can arrange for different visiting schedules for both parents and safe drop-off/pick-up locations. • A safety plan should be in place should a batterer who is excluded from family visits unexpectedly appears at visitation.

Sexual Abuse	<ul style="list-style-type: none"> • Visits should not commence between the child and his/her abuser if the Court determines that such visits would be detrimental. To assist the Court in determining whether or not visitation would be detrimental, the Team should obtain input from the abuser's therapist. • Visits should occur with therapist or other support person present.
Permanency	<ul style="list-style-type: none"> • Visitation should not necessarily end once reunification services are terminated. In recommending termination of family reunification services, DCFS should make a recommendation to the juvenile court as to whether visitation should be modified. • The Team shall consider whether or not to permit visitation when a freed minor is an older child in a non-adoptive home and the parents have matured or their circumstances have otherwise changed.

Transportation

The FVP shall clearly delineate who is responsible for transporting the child to the visit location. Where the parent is responsible to transport him/herself, the Team will ensure that the visitation location is as convenient as possible for the parent and that the parent has adequate means of transportation. Transportation funds should be made available as necessary and where appropriate.

Safety Planning

Every FVP should include an action plan in the event that an emergency arises. Such a plan must state the responsible party to be contacted and what further steps should be taken by all relevant parties.

Team Agreement

The FVP shall contain a signature page listing the names and contact information of the persons participating in the FVP development. All participants shall sign the page indicating their consent to, approval of, or receipt of the plan. Once signed, the FVP will be distributed to parents, caregivers, supervisors, attorneys, the dependency court and children ten years of age or older.

Changes to the FVP

Visits can be limited or terminated immediately, without consulting the Team or the court, where there is imminent danger to the child's life, safety, health or well-being of any of the visit participants. Such action must be well documented, and an Team meeting shall be convened as soon as possible, unless DCFS is requesting a no contact order from the court.

Other than the above-described situation, any changes to the FVP must be made with the Team members, most likely during the FVP Review. However, changes can also be initiated by the CSW without convening a Team meeting by calling/emailing all affected parties regarding the changes and obtaining their input and consent. In modifying the FVP, the Team shall also consider any problems with visitation indicated by parents. All changes should take into consideration the best interest of the child, any ongoing risk associated with the child's contact with the family, and the family's progress towards reunification. The revised FVP must be distributed to parents, caregivers, supervisors, attorneys, the dependency court and children ten years of age or older. It is important to note that visitation objectives will evolve based on the family's success in reaching prior objectives. So long as reunification is the goal, the Team should work towards liberalizing and increasing visitation when the parent is in compliance with the case plan.

The CSW shall report to the child's attorney any significant changes to the visitation plan that deviate from the current Court order. Further, unless the Court specifically provided discretion to DCFS to make such visitation plan changes in a particular case, the CSW shall file the appropriate motion or petition to request the court order the change.

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SUBCOMMITTEE MEMBERS

The Drafting Subcommittee consisted of the following members:

Jackie Acosta, DCFS Deputy Director
 Susie Barkley-Jones, Relative Caregiver, KEPS/FKCE Trainer
 William Bedrosian, DCFS, Assistant Regional Administrator
 Rose Belda, Deputy County Counsel
 Maria Camarillo, DCFS, Training Manager
 Mary Jo Cysewski, DCFS, Policy Analyst
 Valerie Grab⁸, Superior Court, Research Attorney
 Helen Kleinberg, Commission for Children and Families
 Mark Miller, DCFS, Training Director
 Marilyn Mordetsky, Juvenile Courts Bar Association
 Brenda Robinson, Children's Law Center of Los Angeles
 Joi Russell, DCFS Division Chief
 Nina Aguayo Sorkin, Commission for Children and Families
 Jenna Valentine, Child Welfare Policy Assistant, Association of Community Human Service Agencies
 Judge Emily A. Stevens, Visitation Guideline Committee Co-Chair
 Judge D. Zeke Zeidler, Visitation Guideline Committee Co-Chair

⁸Special thanks to Valerie Grab for her work in drafting this document.

SHARED RESPONSIBILITY PLAN – INSTRUCTIONS**EXHIBIT A-XVI****INTRODUCTION**

The purpose of the Shared Responsibility Plan (SRP) is to help develop the parent-child bond, assist the teen parent in her/his transition to independence, and create a successful, supportive and nurturing placement for both the teen and the child.

The SRP shall be designed to preserve, strengthen and maintain the continuity of the teen parent family unit (teen parent & child), to facilitate a supportive home environment for the teen parent and the child, and to ultimately enable the teen parent to independently provide a safe, stable, and permanent home for the child. The SRP shall in no way limit the teen parent's legal right to make decisions regarding the care, custody, and control of the child.

The SRP is an agreement between the dependent teen parent and her/his caregiver about the duties, rights and responsibilities each has with regard to the teen parent's nondependent child. In general the SRP does the following:

1. It is a schedule for the teen parent and the foster parent, so each one knows what they are responsible for in regards to the care of the child.
2. It is flexible, because things can change from week to week (e.g., changing needs of child's and toddlers and the teen parent's changing school; employment or other outside responsibilities, etc.). It might be necessary to review and revise the SRP on a weekly basis (or even more frequently).
3. It includes strategies for dealing with miscommunication or disagreements between the dependent teen parent and the foster parent about care of the child.
4. It identifies supportive services to be offered to the teen parent by the caregiver or, in the case of a certified home, the FFA providing direct and immediate supervision to the caregiver, or both.
5. It supports the teen parent's Case Plan (including the TILP) and any visitation orders made by the court.

THE SHARED RESPONSIBILITY PLAN (SRP) MUST SUPPORT THE TERMS AND CONDITIONS OF THE CASE PLAN AND PROVIDE FOR THE FOLLOWING GOALS AS APPROPRIATE:

Services:

To the greatest extent possible, dependent teen parents and their non-dependent children living together in foster care shall be provided with access to existing services (e.g., ILP) for which they may be eligible that are specifically targeted at supporting, maintaining, and developing both the parent-child bond and the teen parent's ability to provide a permanent and safe home for her/his child. Examples of these services may include, but shall not be limited to: child care, parenting classes, child development classes and frequent visitation.

Education:

The teen parent shall be given the ability to attend school, complete homework, and participate in age and developmentally appropriate activities unrelated to and separate from parenting.

Support & Assistance:

Foster care placements for teen parents and their children shall demonstrate a willingness and ability to provide support and assistance to dependent teen parents and their children.

Contact between the child, the teen parent and the noncustodial parent:

Contact between the non-dependent child, the dependent teen parent, and the noncustodial parent shall be facilitated when that contact is found to be in the best interest of the non-dependent child (refer to FYI 07-10, Teen Parents In Foster Care: New Laws Regarding Visits).

SHARED RESPONSIBILITY PLAN – INSTRUCTIONS**EXHIBIT A-XVI**

THE SHARED RESPONSIBILITY PLAN (SRP) MUST ADDRESS THE FOLLOWING DUTIES, RIGHTS, AND RESPONSIBILITIES OF BOTH THE DEPENDENT TEEN PARENT AND THE CAREGIVER WITH REGARD TO THE NON-DEPENDENT CHILD:

- Feeding Schedule
- Clothing and Dressing
- Hygiene including Diapering
- Purchase of necessary items, including, but not limited to:
(This includes both one-time purchases and items needed on an ongoing basis.)
 - Safety items
 - Food
 - Clothing
 - Age appropriate toys and books
 - Other
- Health care
- Transportation (as appropriate) to:
 - Health care appointments
 - Child care and Babysitting
 - School
 - Other
- Provision of child care and babysitting
- Discipline
- Sleeping arrangements (no co-sleeping)
- Age Appropriate activities (Mommy & Me, Parks, Zoo, Swim, etc.)
- Visits among the child, his or her noncustodial parents, and other appropriate family members, including the responsibilities of the teen parent, the caregiver, and the foster family agency, as appropriate, for facilitating the visitation
- Special Needs
 - Regional Center – Early Intervention Services
 - Special Education

COMPLETION INSTRUCTIONS

(A Shared Responsibility Plan may be completed for each non-dependant child)

Who develops the SRP:

The SRP is to be developed between the teen parent, caregiver, CSW, and FFA social worker (when applicable). Additional input may be provided by any individuals identified by the teen parent, including the other parent of the child, if appropriate, and other extended family members.

When the SRP must be developed:

The SRP is to be developed as soon as is practicably possible within the first 30 days of the teen parent's placement in the Whole Family Foster Home (WFFH). If the CSW or the FFA social worker (when applicable) is/are not available to participate in the creation of the SRP within the first 30 days of the teen parent's placement, the teen parent and caregiver may develop a SRP for the purposes of fulfilling the requirements for the SRP Rate. The SRP must be submitted to the CSW for approval and initiation of the SRP Rate and may be modified at a later time when other individuals become available.

SRP Rate:

The caregiver must provide DCFS with a copy of the SRP and must advise DCFS of any subsequent changes to the SRP. Once the SRP has been completed and approved by the CSW, the payment made will be increased by an additional \$200 per month (per non-dependent child for whom a SRP has been developed) to reflect the increased care and supervision while the Teen Parent Family Unit is placed in the WFFH.

SHARED RESPONSIBILITY PLAN – INSTRUCTIONS**EXHIBIT A-XVI****SRP Checklist**

The following check list has been developed to assist in the completion of a meaningful SRP by providing areas to consider when completing the SRP. This is not an exhaustive list and the SRP should address all areas important to your specific situation. When using this list, check off the boxes that you feel apply to your situation. Then include each checked item in the appropriate section of the SRP. *For example, if you checked “Bonding”, then you could include this in the “Age Appropriate Activities” section in the “The Teen Parent will” box by saying, “(Teen parent’s name) will have bonding time with (child’s name) by holding (her/him) and (list an age appropriate activity).”*

The SRP should:

- 1) Preserve and strengthen the Teen Parent Family Unit:
 - ☐ Bonding
 - ☐ Parenting Skills
 - ☐ Supporting new role of teen as parent
 - ☐ Teen as primary caregiver
- 2) Assist the teen parent in maintaining the continuity of the Teen Parent Family Unit:
 - ☐ Regularly scheduled time with child
 - ☐ Quality time with child (age sensitive)
 - ☐ Teen as primary disciplinarian
 - ☐ Teen as primary caregiver
- 3) Facilitate a supportive home environment for the Teen Parent Family Unit:
 - ☐ Nurturing of teen parent
 - ☐ Teen parent family unit as central focus
 - ☐ Teens role in household
 - ☐ Conflict resolution within placement
- 4) Prepare the teen parent to independently provide a safe, stable and permanent home for her/his child:
 - ☐ Teens education (high school, college, vocational)
 - ☐ Teens career development (employment)
 - ☐ ILP classes
 - ☐ Non violent parenting education
 - ☐ Teens extra curricular activities
 - ☐ Emancipation goals (TILP)
 - ☐ Physical & emotional health of teen parent and child
 - ☐ Financial responsibility & money management
 - ☐ Family Planning
- 5) Support the teen parent’s legal right to make decisions regarding the care, custody, and control of her/his child:
 - ☐ Teen as primary disciplinarian
 - ☐ Teen as primary caregiver
 - ☐ Child’s special needs
 - ☐ Family visitation
 - ☐ Custody & child support

SHARED RESPONSIBILITY PLAN - INSTRUCTIONS**EXHIBIT A-XVI****INSTRUCTIONS FOR THE CAREGIVER****Submitting The SRP For Approval And Initiating The SRP Rate**

In cases where the SRP has been completed between the caregiver and the teen parent only, the caregiver must give the SRP to the CSW for review, approval and submission to the DCFS EW/TA.

Distribution Of Copies Of The SRP

If the SRP is completed without the CSW, then the caregiver is responsible for ensuring that the teen parent and the FFA are provided with copies of the SRP.

INSTRUCTIONS FOR THE CSW**Submitting The SRP For Approval And Initiating The SRP Rate**

The CSW will attach a copy of the completed, signed and approved SRP to a completed DCFS 280, and submit both to the DCFS EW/TA to initiate the SRP Rate.

Distribution Of Copies Of The SRP

The CSW is to provide copies of the completed SRP and/or any subsequent updates to the SRP to the teen parent; the teen parent's attorney; the caregiver; and in the case of a certified home, the FFA providing direct and immediate supervision to the caregiver.

INSTRUCTIONS FOR REVIEWING AND UPDATING THE SRP

These apply to all parties

Changes to the SRP can be expected for a number of reasons and may reflect some of the following examples:

- Changes in the child's needs as (s)he grows and the new parenting skills that are required.
- Changes in the teen parent's educational, employment or extracurricular needs.
- Changes in the caregivers work schedule or health needs.

Make changes within each section as needed. Participants should then initial and date each change. Make plenty of copies of the attached Shared Responsibility Weekly Planner and update it regularly to reflect the current SRP. When changes are made, make a new copy for everyone involved in the SRP per the Submission Instructions above.

The SRP must be reviewed and updated at least every 6 months or more frequently as needed. Make sure the SRP reflects current needs and issues for best results (refer to item #2 on page 1 of these instructions.) On the SRP Cover Sheet document whether this is an "Initial SRP" or a "Bi-Annual SRP". Where indicated, document when the next Bi-Annual SRP is due.

SHARED RESPONSIBILITY PLAN – COVER SHEET

Teen Parent's Name:	DOB:	State #:
Date placed in this home:	PDJ #:	
Non-Dependent Child's Name: Please check appropriate box:	DOB:	Please check appropriate box:
Date placed in this home:		<input type="checkbox"/> Initial SRP <input type="checkbox"/> Bi-Annual SRP
Caregivers Name:	Phone:	e-mail:
Placement address:		
License # (if applicable):		
FFA Name:	Phone:	e-mail:
Address:		
Vendor # and License # :		

NOTE: Certification as a Whole Family Foster Home (WFFH) Provider is an eligibility requirement for the SRP Rate. Copies of the WFFH Certification document and the completed SRP are to be attached to the DCFS 280 when submitting a request for the SRP Rate.

CSW/DPO:	File #:	Phone:
Fax:	e-mail:	
The next Bi-Annual SRP is due on (six months from the date of this SRP): Date:		

By signing below, I am acknowledging that I have participated in the development of the attached SRP and agree to complete the tasks assigned to me:

Teen Parent's Name (please print clearly)

Caregivers Name (please print clearly)

Teen Parent's Signature Date

Caregivers Signature Date

This SRP was developed with the assistance of:

NAME	TITLE	DATE
	Children's Social Worker	
	Probation Officer	
	FFA Social Worker	

CSW Approval:

CSW's Signature

Date

Use the checklist below to document who received copies of the SRP and the date provided:
(Refer to the Distribution Instructions on page 4)

⇒ Teen Parent Date: _____
⇒ Caregiver Date: _____

⇒ Teen's Attorney Date: _____
⇒ FFA Date: _____

SHARED RESPONSIBILITY PLAN (SRP)

Dependent Teen Parent

Non-Dependent Child

Caregiver

*For each Task or Responsibility listed, be as specific as you can.***DUTIES, RIGHTS, AND RESPONSIBILITIES OF BOTH THE DEPENDENT TEEN PARENT AND THE CAREGIVER
WITH REGARD TO THE NON-DEPENDENT CHILD*****Goal: To assist the teen parent in developing the skills necessary to provide a safe, stable, and permanent home for his/her child.***

A written SRP may be developed when a dependent teen parent and her/his non-dependent child live together in a Whole Family Foster Home (WFFH). The SRP is developed between the teen parent, caregiver, and the Children's Social Worker (CSW) or Probation Officer (PO). When living in a Foster Family Agency (FFA) certified home, a representative of the FFA will also be involved. You may want to include additional input from other people like the other parent of the non-dependent child or other extended family members or other support persons, (e.g., Nurse Family Partnership). The SRP is to be completed as soon as practically possible, but can be changed and updated if someone is not available, or the situation changes. This SRP document includes tasks or responsibilities that are required, however, you can add other tasks or responsibilities that you feel should be included. Refer to the check list on p. 4 of the SRP Completion Instructions for areas to consider while completing the SRP. Please also refer to the Shared Responsibility Weekly Planner which is at the end of this package. Please make several copies of the Weekly Planner for your ongoing use.

↓ EXAMPLE**↓ EXAMPLE**

Task or Responsibility:	The teen parent will:	The caregiver will:	Supports needed to assist the teen parent
Feeding Schedule	Example: <ol style="list-style-type: none"> _____ will feed her child breakfast and all meals in the evening every day. On weekends _____ will assume primary responsibility for feeding the child. _____ will prepare the formula. _____ will ask _____ to feed the child if the _____ needs to attend meetings, court, or other functions. _____ and _____ develop a weekly calendar to identify times in which _____ may need assistance in feeding child. 	Example: <ol style="list-style-type: none"> _____ will feed the child while _____ attends school. _____ will encourage _____ to assume the primary responsibility for feeding the child. _____ will offer _____ support to _____. 	What will be done when there is a concern: <ol style="list-style-type: none"> Practice in making the formula (and/or breast feeding techniques – _____ to provide assistance. Learning to "burp" the child. PHN visit <ol style="list-style-type: none"> _____ will discuss concerns with _____. _____ will contact the social worker/probation officer after three attempts to discuss with _____ concerns about feeding. The social worker/probation officer will convene a meeting with _____ and _____ to resolve the concerns.

SHARED RESPONSIBILITY PLAN (SRP)

 Dependent Teen Parent

 Non-Dependent Child

 Caregiver

For each Task or Responsibility listed, be as specific as you can.

<i>Task or Responsibility:</i> Feeding Schedule (infants need to be fed every 2-4 hours)	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i>
			<i>What will be done when there is a concern:</i>
<i>Task or Responsibility:</i> Clothing and Dressing	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i>
			<i>What will be done when there is a concern:</i>

SHARED RESPONSIBILITY PLAN (SRP)_____
Dependent Teen Parent_____
Non-Dependent Child_____
Caregiver*For each Task or Responsibility listed, be as specific as you can.*

<i>Task or Responsibility:</i> Hygiene including diapering	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i>
			<i>What will be done when there is a concern:</i>
<i>Task or Responsibility:</i> Purchase of Items for the Child/Child (safety items, food, clothing, toys, books, other)	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i>
			<i>What will be done when there is a concern:</i>

SHARED RESPONSIBILITY PLAN (SRP)_____
Dependent Teen Parent_____
Non-Dependent Child_____
Caregiver*For each Task or Responsibility listed, be as specific as you can.*

<i>Task or Responsibility:</i> Health Care (maintenance of health care records)	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i>
			<i>What will be done when there is a concern:</i>
<i>Task/ Responsibility:</i> Transportation for health care appointments, child care, school, other	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i>
			<i>What will be done when there is a concern:</i>

SHARED RESPONSIBILITY PLAN (SRP)_____
Dependent Teen Parent_____
Non-Dependent Child_____
Caregiver*For each Task or Responsibility listed, be as specific as you can.*

<i>Task or Responsibility:</i> Child Care and Babysitting	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i>
			<i>What will be done when there is a concern:</i>
<i>Task or Responsibility:</i> Discipline	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i>
			<i>What will be done when there is a concern:</i>

SHARED RESPONSIBILITY PLAN (SRP)_____
Dependent Teen Parent_____
Non-Dependent Child_____
Caregiver*For each Task or Responsibility listed, be as specific as you can.*

<i>Task or Responsibility:</i> Sleeping Arrangements (no “co-sleeping”, baby/child must sleep in his/her own bed))	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i> <hr/> <i>What will be done when there is a concern:</i>
<i>Task or Responsibility:</i> Visits with others (other parent, grandparents, etc) <i>Please Note:</i> <i>The shared responsibility plan cannot conflict with orders of the Court</i>	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i> <hr/> <i>What will be done when there is a concern:</i>

SHARED RESPONSIBILITY PLAN (SRP)

For each Task or Responsibility listed, be as specific as you can.

Dependent Teen Parent

Non-Dependent Child

Caregiver

Task or Responsibility: Age Appropriate Activities (reading, singing, physical activity, holding, etc.)	The teen parent will:	The caregiver will:	Supports needed to assist the teen parent:
			What will be done when there is a concern:





<i>Task/ Responsibility:</i> Other:	<i>The teen parent will:</i>	<i>The caregiver will:</i>	<i>Supports needed to assist the teen parent:</i>
			<i>What will be done when there is a concern:</i>

Shared Responsibility - Weekly Planner							
Task	Mon.	Tues.	Wed.	Thrs.	Fri.	Sat.	Sun.
<i>Insert Date ➡</i>							
Dressing	<div>Who Time</div>						
Morning Meal(s) 5:00 AM - 12 Noon							
Day Care (Start or Drop Off)							
Afternoon Meal(s) 12 Noon - 7:00 PM							
Day Care (End or Pick Up)							
Evening Meal(s) 7:00 PM - 5:00 AM							
Bathe							
Put to Bed							
Age Appropriate Activity							
Appointments							
Teen's Extra Curricular Activities:							
Other:							
Other:							
Other:							

"Persistence Pays Off"

Teen Parent Weekly Goal(s)			
<i>My Personal Goal(s):</i>	<i>Foster Parent help:</i>	<i>Goal Met?</i>	<i>If no, why not?</i>
1)			
2)			
<i>My Goal(s) with _____:</i>	<i>Foster Parent help:</i>	<i>Goal Met?</i>	<i>If no, why not?</i>
1)			
2)			

"Together We Win"

 Disputes 	 Resolutions 

Notes:

LOS ANGELES COUNTY FOSTER FAMILY AGENCY MONTHLY UTILIZATION REPORT

** Data source shall be from DCFS contracted facilities only **

NAME OF FFA _____ MONTH/YEAR: _____

Intake Worker(s): _____ Phone No. _____ Email _____

I. TOTAL NUMBERS OF DUALY CERTIFIED FAMILIES AND APPROVED RESOURCE FAMILIES (RFA) IN LOS ANGELES COUNTY & OUT-OF-COUNTY FOR L.A. COUNTY DCFS CHILDREN PLACEMENTS AS OF THE LAST DAY OF THE REPORTING MONTH: (see definition)

LOS ANGELES COUNTY (LA)

OUT-OF-COUNTY (O/C)

_____ Total # of homes (NDC, DC & RFA) in L.A.

_____ Total # of Non-Dually Certified(NDC) homes

_____ Total # of Dually Certified (DC) homes (not RFA)

_____ Total # of RFA homes

_____ Total Capacity (Total # of Beds)

_____ L.A. County DCFS Children placed

_____ Total # of Whole Family Foster Homes (WFFH)

_____ Total # of Placed Teen Parents with ____ #child(ren)

_____ Total # of Non-L.A. County DCFS Children Placed

_____ Total # of L.A. County Children placed in Non-DCFS Contracted sites via Special Placement (4213)

_____ Total # of homes (NDC, DC &RFA) in O/C

_____ Total # of Non-Dually Certified (NDC) homes

_____ Total # of Dually Certified (DC) homes (not RFA)

_____ Total # of RFA homes

_____ Total Capacity (Total # of Beds)

_____ L.A. County DCFS Children placed

_____ Total # of Whole Family Foster Homes (WFFH)

_____ Total # of Placed Teen Parents with ____ #child(ren)

_____ Total # of Non-L.A. County DCFS Children Placed

II. TOTAL NUMBERS OF AVAILABLE VACANCIES (VACANT BEDS) FOR L.A. COUNTY DCFS CHILDREN PLACEMENTS:

	<u>RFA Homes</u>		<u>Dually Certified Foster Homes</u>		<u>Non-Dually Certified Foster Homes</u>	
	<u>L.A.</u>	<u>O/C</u>	<u>L.A.</u>	<u>O/C</u>	<u>L.A.</u>	<u>O/C</u>
_____ # Total available vacancies	_____	_____	_____	_____	_____	_____
_____ # Vacant beds for ERCP (after hour or weekend)	_____	_____	_____	_____	_____	_____
_____ # Vacant beds for DCFS children (WFFH)	_____	_____	_____	_____	_____	_____
_____ # Vacant beds for DCFS children (age 0-2)	_____	_____	_____	_____	_____	_____
_____ # Vacant beds for DCFS children (age 3-5)	_____	_____	_____	_____	_____	_____
_____ # Vacant beds for DCFS children (age 6-12)	_____	_____	_____	_____	_____	_____
_____ # Vacant beds for DCFS children (age 13+)	_____	_____	_____	_____	_____	_____
_____ # Vacant beds for DCFS children (siblings)	_____	_____	_____	_____	_____	_____

III. NEWLY APPROVED OR CERTIFIED HOMES / DE-CERTIFIED HOMES / WFFH :

- A. _____ Total # of New Dually Certified and Approved RFA homes in the reporting month
- B. _____ Total # of existing Certified homes converted to RFA homes in the reporting month
- C. _____ Total # of New Dually Certified Homes in the reporting month
- D. _____ Total # of De-Certified homes (All types) in the reporting month.
- E. Complete the Newly Approved RFA/ Newly Dually Certified Home/ De-Certified Home List and submit it with this self-report. Submit the certificate for RFA home or the home study for the Newly Dually Certified home.
- F. Total # of new Whole Family Foster Home (WFFH) Placements: _____.

WFFH Foster Parents' names: _____

Address: _____ Phone #: _____

Name of Teen Parents: _____ Name of Baby: _____

IV. Change in placement for L.A. County children only (attach requested information):

Total # of children moved to another home(s) associated with your FFA during the reporting month: _____

IMPORTANT: Please also attach a list of all the L.A. County children placed with your FFA and the date that each child was initially placed with your FFA. For those children moved to another foster home associated with your FFA during this reporting month, please indicate how many times they were moved this month and the reason for their replacements. This does not include respite placements unless they become long-term placements. Thank you.

DEFINITION:

RFA Homes (Resource Families Approved) – The streamlined and unified process for approving Resource Families as per the new Interim Licensing Standards, which went into effect January 1, 2017.

Dually Certified Foster Families – Existing foster families able to foster and adopt, which were dually certified or began the dual certification process prior to January 1, 2017.

Non-Dually Certified Foster Families – Existing certified foster families grandfathered prior to 2009, not dually certified.

WFFH (Whole Family Foster Home) – foster families that provide care for placed teen parents and their dependent child(ren).

Total Capacities (Beds) – Total number of beds provided for DCFS children placements.

Non- L.A. County Children placed - refers to those foster children who are not L.A. County DCFS children.

Available Vacancies (Vacant Beds) - refers to those open and active beds. Do not include the beds on hold or inactive.

Vacancies for ERCP (Emergency Response Command Post) Placement – refers to available beds that are currently capable of serving children referred by the ERCP.

LOS ANGELES COUNTY DEPARTMENT OF CHILDREN AND FAMILY SERVICES

FFA Monthly Newly Approved RFA (Resource Family) / Newly Dually Certified Home / De-certified Home

Agency Name _____ Month _____ Year _____

Reason Code for De-certification: (1) Sexual Abuse, (2) Physical Abuse, (3) Sickness, (4) Retired, (5) Different Agency, (6) Neglect, (7) CCL Violations,
(8) Adoptive Home, (9) Legal Guardianship, (10) Moved, (11) Agency Standards Not Met, (12) Voluntary.

PARENTS' NAMES	ADDRESS	PHONE #	DATE OF RESOURCE FAMILY APPROVAL (RFA)	DATE OF FOSTER HOME CERTIFICATION	DATE OF DE- CERTIFICATION	REASON CODE FOR DE- CERTIFICATION	Indicate in this column for any of the followings: 1. RFA Certificate is attached to the report. 2. Home Study is attached or was sent to PRU. 3. Brief Reason Description for De-certification.
Last name, First & Middle; Last name, First & Middle	Full address	(xxx) xxx-xxxx		5/10/2017			Adoption HS was sent to PRU (or attached to the report)
Last name, First & Middle; Last name, First & Middle	Full address	(xxx) xxx-xxxx	5/15/2017				RFA Certificate is attached to the report
Last name, First & Middle; Last name, First & Middle	Full address	(xxx) xxx-xxxx	1/25/2017		5/20/2017	2, 7	Substantiated Allegaton of physical abuse
Last name, First & Middle; Last name, First & Middle	Full address	(xxx) xxx-xxxx		3/25/2015	5/12/2017	8, 12	Adoption completed and FP doesn't want fostering any more.
Last name, First & Middle; Last name, First & Middle	Full address	(xxx) xxx-xxxx		6/1/2016	5/28/2017	6, 7	FM left foster child in the car alone and went to the grocery store.
Last name, First & Middle; Last name, First & Middle	Full address	(xxx) xxx-xxxx		12/9/2016	5/5/2017	11	FP(s) have never responded to the agency's phone calls.
Last name, First & Middle; Last name, First & Middle	Full address	(xxx) xxx-xxxx		8/8/2013	5//2/17	5	FP(s) moved and voluntarily de-certified.

- Please use font "Arial" and size "12" to type in the information. Do not capitalize all the letters. Use semicolon to separate 2 persons' names.
- Follow the format set for each column and each box. Do not alter. "Wrap Text" was set for each box, so go ahead to type in the information straight.
For manually change the line in the same box, hit "Alt" and "Enter" on the keyboard.
- The above sample information is for your reference only. Do not keep it on your list when submitting your list.

DCFS 2281 CLOTHING STANDARD (Revised 2/2005)

When determining the adequacy of clothing, consider the following:

- Special activities clothing for sports/gym, dance, proms, or graduation
- Periods of rapid growth
- Size changes during pregnancy and post delivery
- Frequency of laundering

School uniforms, if applicable, can meet up to 2 outfits of the clothing standard.

Children should begin to participate in the selection and purchases of their clothing as soon as possible. Teens should also participate in the maintenance of their wardrobe (washing, ironing, mending, etc.)

INFANT:	NAME:	NAME:	NAME:	NAME:
2-4 receiving blankets				
2 large blankets				
2 blanket sleepers				
8 one-piece stretch suits and/or 8 outfits for everyday play				
1 outfit for dressy/Sunday/ special occasions				
1 sweater and cap set				
1 pair booties/play shoes				
8 pair socks				
4-6 undershirts				
3 dozen cloth diapers. 1 dozen diaper liners, 2 pairs plastic pants OR 3 dozen disposable diapers				
8 bibs				
1 swimsuit, if applicable				
Meets standard:	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2 YEARS AND OLDER:	NAME:	NAME:	NAME:	NAME:
*outfits				
2-3 pairs of shoes				
Nightwear, bedroom slippers				
2 sweatshirts/sweaters				
1 jacket or coat appropriate to				
1 swimsuit, if applicable				
Meets standard:	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

*4 outfits at initial placement; 7 outfits within 30 days of initial placement, 10 outfits within 60 days of initial placement, 12 outfits within 120 days of initial placement (an outfit includes all necessary undergarments: socks/pantyhose; jeans/pants/slacks/skirts; shirts/t-shirts/blouses; dresses).

FOSTER FAMILY AGENCY PLAN OF OPERATION AND PROGRAM STATEMENT

EXHIBIT C

OMB_2 CFR Chapter I, Chapter II, Part 200, et al. and 2 CFR 1.100, title 2, Part 1

This exhibits can be obtained online via the Internet by accessing the U S Government Printing Office's home page at <http://www.gpo.gov/fdsys/pkg/FR-2013-12-26/pdf/2013-30465.pdf> and

<https://www.gpo.gov/fdsys/pkg/CFR-2017-title2-vol1/pdf/CFR-2017-title2-vol1.pdf>

**DEPARTMENT OF AUDITOR-CONTROLLER
CONTRACT ACCOUNTING AND ADMINISTRATION HANDBOOK**

The purpose of the handbook is to establish accounting, internal control, financial reporting, and contract administration standards for organizations (contractors) that contract with the COUNTY.

Revision: March 2014

AUDITOR-CONTROLLER CONTRACT ACCOUNTING AND ADMINISTRATION HANDBOOK

The purpose of this Handbook is to establish required accounting, financial reporting, and internal control standards for entities (CONTRACTOR) which contract with Los Angeles County (COUNTY).

The accounting, financial reporting and internal control standards described in this Handbook are fundamental. These standards are not intended to be all inclusive or replace acceptable existing procedures or preclude the use of more sophisticated methods. Instead, this Handbook represents the minimum required procedures and controls that must be incorporated into a CONTRACTOR'S accounting and financial reporting system. The internal control standards described apply to organizations with adequate staffing. Organizations with insufficient staff to implement the internal controls as described herein must adopt alternative controls (e.g., use of appropriate alternative staff or Board Officers, etc.) to comply with the intent of the standards to ensure effective internal control systems are in place within the organization. The CONTRACTOR'S subcontractors must also follow these standards unless otherwise stated in the Agreement.

A. ACCOUNTING AND FINANCIAL REPORTING

1.0 Basis of Accounting

Unless otherwise specified by the funding source, CONTRACTORS may elect to use either the cash basis or accrual basis of accounting during the year for recording financial transactions. Monthly invoices must be prepared on the same basis that is used for recording financial transactions.

The COUNTY recommends the use of the accrual basis for recording financial transactions.

Accrual Basis

Under the accrual basis for recording financial transactions, revenues are recorded in the accounting period in which they are earned (rather than when cash is received). Expenditures are recorded in the accounting period in which they are incurred (rather than when cash is disbursed).

Accruals

Accruals shall be recorded observing the following:

- Recorded accruals must be reversed in the subsequent accounting period.

1.1 If a CONTRACTOR elects to use the cash basis for recording financial transactions during the year:

- Necessary adjustments must be made to record the accruals at the beginning and the end of each year of the contract and at the end of the contract.
- All computations, supporting records, and explanatory notes used in converting from the cash basis to the accrual basis must be retained.

1.2 Prepaid Expenses

Prepaid expenses (e.g., insurance, service agreements, lease agreements, etc.) should only be expensed during a given Agreement year to the extent goods and services are received, or are applicable to that Agreement year.

2.0 Accounting System

Each CONTRACTOR shall maintain a ***double entry accounting system*** (utilizing debits and credits) with a General Journal, a Cash Receipts Journal, a General Ledger, and a Cash Disbursements Journal. The COUNTY requires that a Payroll Register (see Section 2.6) also be maintained. Postings to the General Ledger and Journals shall be made at least on a monthly basis. The CONTRACTOR shall maintain a separate Cost Center(s), which clearly identifies funds received and expended on services provided under the attached Agreement.

2.1 General Journal

A General Journal shall be maintained for recording adjusting entries, reversing entries, closing entries, and other financial transactions not normally recorded in the Cash Receipts Journal or Cash Disbursements Journal. Entries in the General Journal must be adequately documented, and entered in chronological order with sufficient explanatory notations.

Example:

	<u>Debit</u>	<u>Credit</u>
Rent Expense	100	
Rent Payable		100

To record accrued rent to March 31, 20XX

2.2 Cash Receipts Journal

A Cash Receipts Journal shall be maintained for recording all cash receipts (e.g., COUNTY warrants, contributions, interest income, etc.). The Cash Receipts Journal shall contain (minimum requirements) the following column headings:

- Date
- Receipt Number
- Cash Debit Columns
- Income Credit Columns (for the following accounts):
 - COUNTY payments (one per funding source)
 - Contributions
 - Other Income (Grants, sales of supplies/services, rental income, miscellaneous revenue, fees, etc.)
 - Description (entries in the description column must specify the source of cash receipts.)

2.3 Cash Disbursements Journal

A Cash Disbursements Journal shall be maintained for recording all cash disbursements (e.g., rent, utilities, maintenance, etc.)

The Cash Disbursements Journal shall contain (minimum requirements) the following column headings:

- Date
- Check Number
- Cash (Credit) Column
- Expense Account Name
- Description

Note (1) Separate cost columns are required for salary expense and other recurring cost classifications for each program.

Note (2) Entries in the description column must specify the nature of the cost and the corresponding cost classification if not included in the column heading.

Note (3) Checks should not be written to employees (other than payroll, mileage, travel, and petty cash custodian checks).

A ***Check Register*** may be substituted for the Cash Disbursements Journal, but this is not recommended. If used, the Check Register must contain the same cost classifications and description information required when a Cash Disbursements Journal is used.

Disbursements without supporting documentation will be disallowed upon audit. Cancelled checks and credit card statements (VISA, AMEX, department store, etc.) will not constitute acceptable support. See Sections A.3.2 and B.2.4 for additional guidance on expense documentation requirements.

2.4 General Ledger

A General Ledger shall be maintained with accounts for all assets, liabilities, fund balances, expenditures, and revenues. Separate accounts must be maintained for the expenses and revenues of each of the CONTRACTOR'S programs (both COUNTY and non-COUNTY programs).

2.5 Chart of Accounts

A Chart of Accounts shall be maintained:

- The COUNTY recommends that CONTRACTORS use the expense account titles on the monthly invoice submitted to the COUNTY.
- If the CONTRACTOR uses account titles which differ from the account titles on the monthly invoice, each account title must clearly identify the nature of the transaction(s) posted to the account.
- CONTRACTOR must consistently post transactions that are of a similar nature to the same account. For example, all expenses for travel shall be posted to the account titled "travel" or "travel expense" and not intermixed with other expense accounts.

2.6 Payroll Register

The COUNTY recommends that a Payroll Register be maintained for recording all payroll transactions. The Register should contain the following:

- Name
- Position
- Social Security Number (at a minimum last four digits of the SSN)
- Salary (hourly wage)
- Payment Record including:
 - Accrual Period
 - Gross Pay
 - Itemized Payroll Deductions
 - Net Pay Amount
 - Check Number

If a Payroll Register is not used, the information discussed above must be recorded in the cash disbursements journal.

CONTRACTOR will ensure compliance with all applicable federal and State requirements for withholding payroll taxes (e.g., FIT, FICA, FUTA, SIT, SIU, etc.), reporting, filing (e.g., 941, DE-7, W-2, W-4 and 1099s), and all applicable tax deposits.

CONTRACTOR will ensure compliance with Internal Revenue Service guidelines in properly classifying employees and independent contractors.

2.7 CONTRACTOR Invoices

Each CONTRACTOR shall present an invoice to the COUNTY each calendar month to report the program(s) financial activity of the month. In addition, if advanced funding is involved, an invoice shall be presented at the beginning of the contract period. An invoice/billing submission shall be provided to the COUNTY as required in the applicable COUNTY contract.

3.0 Records

Adequate care shall be exercised to safeguard the accounting records and supporting documentation. Any destruction or theft of the CONTRACTOR'S accounting records or supporting documentation shall be immediately reported to the COUNTY. CONTRACTOR shall report, to the local law enforcement agency having jurisdiction, any act(s), which may reasonably be thought to constitute a crime, and/or which appear to have resulted in the destruction, damage or alteration of any record subject to the provisions of this Handbook. CONTRACTOR shall make their report to the local law enforcement agency not more than twenty-four hours after becoming aware of the acts which have resulted in the destruction, damage, or alteration of the record.

A copy of the resulting crime/incident report must be retained by the agency for a period of time under which the underlying records were

destroyed, or damaged were required to be retained plus an additional four years, and shall be retained for a longer period in the case of unresolved litigation, or audit.

To the extent automated accounting records contain confidential information including but not limited to the names and addresses of individuals, Social Security Numbers, etc. The computer files containing this information must be adequately encrypted using the most current encryption standards to prevent unauthorized access and use.

3.1 Retention

All accounting records (e.g., journals, ledgers, etc.), financial records and supporting documentation (e.g., invoices, receipts, checks, etc.) must be retained for a minimum of five years after the termination of the CONTRACTOR'S Agreement, unless a longer retention period is prescribed by the Agreement, or by applicable laws and regulations, in which case the CONTRACTOR shall comply with the longer retention period and all other retention requirements set forth in the Agreement or the applicable laws and regulations.

3.2 Supporting Documentation

All revenues and expenditures shall be supported by original vouchers, invoices, receipts, or other documentation and shall be maintained in the manner described herein.

Invoices, receipts, canceled checks and other documentation, including electronic documentation clearly establishing the nature of the expenditure and its relevance to the COUNTY program being contracted for shall be required to support an outlay of funds. Unsupported disbursements will be disallowed upon audit. CONTRACTOR will be required to repay COUNTY for all dollar for dollar disallowed costs. ***Photocopies (including scanned images) of invoices or receipts, any internally generated documents (e.g., vouchers, request for check forms, requisitions, canceled checks, etc.), and account statements do not constitute supporting documentation for purchases. To the extent the source for electronic documentation is an original hardcopy document (e.g., PDF scans of original vendor invoices) CONTRACTOR shall retain the original source document for inspection by COUNTY. County at its sole discretion may accept photocopies of supporting documentation in preference to the original documents.***

Supporting documentation is required for various types of expenditures. CONTRACTORS shall provide acceptable supporting documentation for all expenditures, and, with regard to the following categories of

expenditures, acceptable supporting documentation shall consist solely of the documentation listed for each expenditure type. Another form of documentation may be used, in lieu of the listed types of acceptable supporting documentation, provided the CONTRACTOR obtains the prior written approval of the COUNTY to use a specific type of alternative documentation.

Payroll – timecards and attendance records signed by the employee and approved in writing by the supervisor, time distribution records by program accounting for total work time on a daily basis for all employees, records showing actual expenditures for Social Security and unemployment insurance, State and federal quarterly tax returns, federal W-2 forms, and federal W-4 forms. Personnel records shall also be maintained documenting employee pay rates. Personnel records shall also contain documentation confirming that educational and practical experience requirements of an employee's position have been met. Where licensure is a requirement of an employee's position, CONTRACTOR'S personnel file shall contain proof that employees have the required licenses/certifications.

Consultant Services – contracts detailing the nature and scope of services to be provided, time and attendance records (where applicable, as determined by COUNTY), billing rates, travel vouchers detailing purpose, time and location of travel, purchase orders and invoices for supplies and invoices or other supporting documentation detailing the nature of services provided. CONTRACTOR shall also maintain copies of all completed federal form 1099s, establishing that all payments to all consultants were reported in a timely fashion to federal and State taxing agencies.

Travel – travel policies of the CONTRACTOR (written); travel expense vouchers showing location, date and time of travel, purpose of trip, and rates claimed; vehicle mileage logs showing dates, destination and headquarters, purpose of trip, and beginning and ending odometer readings and the resulting mileage. Vehicle mileage logs must clearly identify business versus non-business, or personal travel. For travel related to conferences, CONTRACTOR shall at a minimum retain conference literature, including but not necessarily limited to agendas and handouts detailing the purpose of the conference, as part of the CONTRACTOR'S documentation of the propriety of the travel expenditure. Reimbursement rates for mileage shall not exceed applicable federal guidelines.

Reimbursement for actual receipts or per diem rates for meal expenses shall not exceed the maximum COUNTY'S reimbursement rate for employees.

Receipts shall be required for lodging for approved out-of-town travel. Maximum reimbursable lodging amount is the COUNTY'S maximum reimbursement rate for employees for a single occupancy hotel accommodation. Receipts shall also be required for airfare, car rentals, ground transportation and parking.

Operating Expenses (e.g., utilities, office supplies, equipment rentals, etc.) – bona fide contracts or lease agreements, if any, and invoices and receipts detailing the cost and items purchased will constitute the primary supporting documentation. For internal control purposes, the CONTRACTOR shall maintain vouchers, purchase orders, requisitions, stock received reports, bills of lading, etc. The contractor shall also maintain documentation acknowledging the receipt of the specific goods and services for the expenditure (e.g., stock received reports, packing slip signed by the receiving employee, etc.). For internal control purposes, the CONTRACTOR may also maintain vouchers, purchase orders, requisitions, etc.

Vehicle Expenses - A vehicle mileage log must be maintained which establishes the extent to which company owned vehicles are used for business, versus non-business purposes. For all business related trips, the log shall identify trip dates, the origin and destination of the trip along with beginning and ending odometer readings and the resulting mileage. For other vehicle expenses such as gasoline and maintenance, invoices/receipts must be maintained which reflect the vehicle license number, or vehicle identification number of the vehicle being serviced or fueled. The record maintenance requirements for company-owned vehicles, also applies to personal vehicles used for business purposes.

Outside Meals - receipts and/or invoices for all meals, a record of the nature and business purpose of each meal, and identification of the participants.

Loans from Employees/Related Parties – Loans to the CONTRACTOR by employees and/or related parties shall be supported by a written loan agreement and records documenting that the lent funds were deposited into a CONTRACTOR bank account. CONTRACTOR shall also maintain documentation showing that the loan proceeds were actually used for County programs. To the extent that the loan agreement provides for the payment of interest, the interest may not be an allowable expense under the Agreement. If the payment of interest is allowable, interest shall not be accrued at a rate which exceeds the most current available County Treasury Rate plus one percent.

3.3 Payments to Affiliated Organizations or Persons

Prior to making payments to affiliated organizations or persons (i.e., related party transactions), CONTRACTOR shall complete a disclosure statement identifying the nature of the affiliated, or related organization /persons.

CONTRACTOR shall not make payments to affiliated organizations or persons for program expenses (e.g., salaries, services, rent, etc.) that exceed the lesser of actual cost or the reasonable cost for such expenses. A reasonable cost shall be the price that would be paid by one party to another when the parties are dealing at arm's length (fair market price).

Organizations or persons (related parties) related to the CONTRACTOR or its members by blood, marriage, or through a legal organization (corporation, partnership, association, etc.) will be considered affiliated for purposes of this Agreement. COUNTY shall be solely responsible for determining affiliation unless otherwise allowed and approved by the State or federal agencies.

Payments to affiliated organizations or persons will be disallowed upon audit to the extent the payments exceed the lower of actual costs or the reasonable costs (fair market value) for such items.

3.4 Filing

All relevant supporting documentation for reported program expenditures and revenues shall be filed in a systematic and consistent manner. It is recommended that supporting documents be filed as follows:

- Checks – Numerically
- Invoices – Vendor name and date
- Vouchers – Numerically
- Receipts – Chronologically
- Timecards – Pay period and alphabetically

3.5 Referencing

Accounting transactions posted to the CONTRACTOR'S books shall be appropriately cross-referenced to supporting documentation. It is recommended that expenditure transactions on the CONTRACTOR'S books be cross-referenced to the supporting documentation as follows:

- Invoices – Vendor name and date
- Checks – Number
- Vouchers –Number
- Revenue – Receipt number

Supporting documentation for non-payroll expenditures (i.e., operating expenditures) should be cross-referenced to the corresponding check issued for payment. If multiple invoices are paid with one check, all related invoices should be bound together and cross-referenced to the check issued for payment.

4.0 Donations and Other Sources of Revenue

Restricted donations and other sources of revenue, earmarked specifically for the Contract, must be utilized on allowable contract expenditures. Similarly, income from investments (e.g., interest or dividends), where the source of the amount invested is COUNTY program funds, shall be deemed restricted revenue that must be utilized on allowable expenditures, or returned to the COUNTY as specified under the attached Agreement.

5.0 Audits

For routine audits and inspections, CONTRACTOR will make available to COUNTY representatives, upon request, during working hours, during the duration of the contract and for a period of five years thereafter (unless a longer period is specified under the Agreement, or by applicable laws and regulations), all of its books and records, including but not limited to those which relate to its operation of each project or business activity which is funded in whole or part with governmental monies, whether or not such monies are received through the COUNTY. All such books and records shall be maintained at a location within Los Angeles County.

In general, audits will normally be performed during normal business hours, Monday through Friday. However, COUNTY retains the right to inspect and conduct investigations of CONTRACTOR'S program/fiscal operations and contract compliance at any time, without prior notice to CONTRACTOR seven days a week, when the COUNTY has information which it, in its sole discretion, deems justifies such an unannounced visit, inspection, audit or investigations.

6.0 Single Audit Requirements

OMB Circular 133, "Audits of State, Local Governments and Non Profit Organizations" requires that certain organizations receiving federal

awards, including pass-through awards, have annual audits. Details are contained in the Circular.

A copy of any Single Audit report shall be filed with the COUNTY within the timeframes prescribed by the Circular 133, or under the attached Agreement.

7.0 Subcontracts

CONTRACTOR shall not subcontract services without the prior written consent of the COUNTY.

CONTRACTOR shall provide COUNTY with copies of all executed subcontracts and shall be responsible for the performance of their subcontractors. At the sole discretion of COUNTY, CONTRACTOR may submit an electronic copy of executed subcontracts in preference to a hardcopy.

B. INTERNAL CONTROLS

Internal controls safeguard the CONTRACTOR'S assets from misappropriations, misstatements or misuse. Each CONTRACTOR shall prepare necessary written procedures establishing internal controls for its personnel's use. The CONTRACTOR shall instruct all of its personnel in these procedures and continuously monitor operations to ensure compliance with them.

1.0 Cash Receipts

1.1. Separate Fund or Cost Center

All contract revenues shall be maintained in a bank account. If revenues from other sources are maintained in the same bank account, revenues for each source must be clearly identifiable on the accounting records through the use of cost centers or separate accounts.

1.2 Deposits

When collections are received by mail, two employees should be assigned to open the mail and list all collections received on a check remittance log.

All checks shall be restrictively endorsed upon receipt.

Cash received shall be recorded on pre-numbered receipts and the receipts/check remittance log shall be reconciled to the amount being deposited.

Voided receipts shall be retained and the sequence of receipts issued/voided shall be periodically accounted for.

Cash receipts (i.e., cash and checks) totaling \$500 or more shall be deposited within one day of receipt. Collections of less than \$500 may be held and secured and deposited weekly or when the total reaches \$500, whichever occurs first. If CONTRACTOR can establish that a larger limit is warranted, CONTRACTOR may request authorization from COUNTY to increase the limit to an amount greater than \$500.

Duplicate deposit slips shall be retained and filed chronologically, and shall contain sufficient reference information for comparison to the Cash Receipts Journal and individual receipts, if applicable. A recommended best practice is to retain photocopies of the COUNTY warrants reflected on each deposit slip, or record the individual warrant numbers onto the deposit slip.

1.3 Separation of Duties

An employee who does not handle cash shall record all cash or check receipts in the CONTRACTOR'S accounting records.

1.4 Bank Reconciliations

Bank statements should be received and reconciled by someone with no cash handling, or check writing responsibilities.

Monthly bank reconciliations should be prepared within 30 days of the bank statement date and reviewed by management for appropriateness and accuracy. The bank reconciliations should be signed and dated by both the preparer and the reviewer. Reconciling items should be resolved timely.

2.0 Disbursements

2.1 General

All disbursements (other than those made for petty cash purchases), shall be made using an Agency check, electronic funds transfer, or debit/credit card.

Blank check stock shall be secured and accounted for to preclude unauthorized use.

Checks shall not be payable to "cash" or signed in advance. Similarly, electronic debits to "cash" shall not be made. Checks written to employees

for reimbursement of out-of-pocket costs must be supported by receipts and invoices.

A second signature is recommended on all checks over \$500, unless otherwise specified in the contract. In instances where the payee is also a signor on the check, the disbursement shall be reviewed and approved by a higher level employee, or Board member who shall also sign the check.

If the bookkeeper signs checks, a second signature shall be required on the checks, regardless of limits specified in the contract.

Voided checks shall be marked void with the signature block cut out. The voided checks must be filed with the cancelled checks.

Unclaimed or undelivered checks shall be cancelled periodically.

All supporting documentation shall be referenced to check numbers and marked "paid" or otherwise canceled to prevent duplicate payments or reuse.

Disbursements without adequate supporting documentation will be disallowed upon audit.

2.2. Approvals and Separation of Duties

Employees responsible for approving cash disbursements and/or signing checks shall examine all supporting documentation at the time the checks are approved and signed.

All disbursements, excluding petty cash purchases, shall be approved by persons independent of check preparation and bookkeeping activities.

2.3 Petty Cash

A petty cash fund up to \$500 may be maintained for payment of small incidental expenses incurred by the CONTRACTOR (e.g., postage due, small purchases of office supply items, etc.). The CONTRACTOR must obtain written approval from the COUNTY to establish a petty cash fund greater than \$500.

Petty cash disbursements must be supported by original invoices, store receipts or other external authenticating documents indicating the item purchased and the employee making the purchase. In the event that outside (external) supporting documentation is not obtainable for minor disbursements (under \$10), such as parking meters, fees, etc., then some written documentation shall be maintained and approved by a supervisory employee not associated with the transaction. **Petty cash**

disbursements should not be used as a substitute for normal purchasing and disbursement practices (i.e., payment by check).

The petty cash fund shall be maintained on an imprest basis. A check should be drawn to set up the fund and to make periodic reimbursements. Receipts, vouchers, etc., supporting each fund replenishment must be bound together, filed chronologically and cross referenced to the reimbursement check.

2.4 Credit Cards

The use of credit cards, both CONTRACTOR-issued credit cards and an employee's personal credit card used on behalf of the CONTRACTOR, should be limited to purchases where established purchasing and disbursement practices are not suitable.

Credit cards issued in the CONTRACTOR'S name must be adequately safeguarded and usage monitored to ensure that only authorized and necessary items are purchased.

Credit card purchases should be pre-approved by CONTRACTOR management to ensure that they are reasonable and necessary.

All credit card disbursements must be supported by original invoices, store receipts or other external authenticating documents indicating the item purchased, the employee making the purchase, and the justification for the purchase. ***Credit card statements are not sufficient support for credit card purchases.***

3.0 Timekeeping

3.1 Timecards

Timecards or time reports must be prepared for each pay period. Timecards or time reports must indicate total hours worked each day by program and total hours charged to each of the CONTRACTOR'S programs. Time estimates do not qualify as support for payroll expenditures and will be disallowed upon audit.

All timecards and time reports must be signed in ink by the employee and the employee's supervisor to certify the accuracy of the reported time. To the extent CONTRACTOR utilizes electronic timecards and time reports, CONTRACTOR must ensure that both the employee and supervisor certify time reported using electronic signatures. Where electronic timecards and time reports are used, CONTRACTOR'S reporting system must be able to electronically record the date/time the timecard was prepared/reviewed. CONTRACTOR'S electronic time reporting system

must also have sufficient controls to prevent unauthorized alteration/changes to electronic time records and reports.

3.2 Personnel and Payroll Records

Adequate security must be maintained over personnel and payroll records with access restricted to authorized individuals. Any automated personnel and payroll records which contain confidential information such as employee addresses, medical condition information, etc. should be adequately encrypted to prevent unauthorized access and use using the latest encryption standards.

Personnel and payroll records shall include, but are not limited to, the following:

- Employee's authorized salary rate
- Employee information sheet (e.g., employee contact information, emergency contact information, etc.)
- Resume and/or application
- Proof of qualifications for the position, if required (e.g., notarized copy or original diploma, license(s), etc.)
- Performance evaluations
- Criminal record clearance (if required)
- Citizenship Status
- Benefit balances (e.g., sick time, vacation, etc.)
- Health Clearances (if required)

Benefit Balances

Employee benefit balances (e.g., sick time, vacation, personal time, etc.) should be maintained on at least a monthly basis. Benefit balances should be increased when benefit hours are earned and decreased as hours are used.

3.3 Limitations on Positions and Salaries

The CONTRACTOR shall not pay any salaries higher than those authorized in the contract, or the attachments thereto.

If an employee serves in the same, or dual capacities under more than one agreement or program, time charged to the contracts or programs taken as a whole may not exceed 100% of the employee's actual time worked.

Salaried employees shall be paid a salary that corresponds with the employee's work schedule. For example, a ½-time salaried employee

performing the same or similar work should be paid proportionately less than a full-time salaried employee.

The salary expense of salaried employees working on more than one agreement or program shall be allocated to each program based on the ratio of the number of hours worked on each program during the pay period to the total number hours worked during the pay period.

The CONTRACTOR shall not make retroactive salary adjustments for any employee without written approval from the COUNTY.

Separation of Duties

- Payroll checks should be distributed by persons not involved in timekeeping, preparing of payroll transactions, or reconciling bank accounts.
- All employee hires and terminations, or pay rate changes, shall be approved in writing by authorized persons independent of payroll responsibilities.

4.0 Capital Assets

Capital assets are tangible assets of significant value having a useful life that extends beyond the current year and are broadly classified as land, buildings and improvements, and equipment.

Land cannot be depreciated. All other capital assets with an acquisition cost of \$5,000 or more shall be capitalized.

Acquisition cost means the net invoice unit price of an item, including shipping costs and sales taxes, the cost of any modifications, attachments, accessories, or auxiliary apparatus necessary to make it usable for the purpose for which it was acquired.

Capital asset purchases shall be approved by the CONTRACTOR'S Board of Directors or their authorized representative.

Capital assets shall not be ordered, or purchased during the last three months of the term of the CONTRACTOR'S Agreement with the COUNTY, unless the acquisition is pre-approved by the COUNTY.

4.1 Acquisition

As specified in the contract, CONTRACTOR shall submit a purchase versus lease analysis to COUNTY and obtain written authorization before

making any capital asset purchase where the acquisition cost is \$25,000 or more, and all, or a portion of the cost of the capital asset will be charged to the COUNTY's contract.

Non-Capital Asset Equipment

Non-capital asset equipment is defined as equipment with a unit cost less than \$5,000, a useful life over one year, and can generally be easily carried or moved; especially by hand (e.g., personal computers, related peripherals, typewriters, fax machines and other portable assets).

4.2 Asset Identification and Inventory

All fixed assets including capital and non-capital asset equipment, purchased with Contract funds are to be used solely for the benefit of the Contract and should be appropriately tagged.

Each CONTRACTOR shall maintain a current listing of fixed assets, including the item description, serial number, date of purchase, acquisition cost and source(s) of funding.

An inventory of all fixed assets should be conducted at least once each year to ensure that all fixed assets are accounted for and maintained in proper working order.

4.3 Depreciation and Use Allowance

Unless otherwise approved by the COUNTY, compensation for the use of buildings and other capital improvements may be made through depreciation, or a use allowance:

- The computation of depreciation/use allowance is based on the acquisition cost of the asset(s).
- The computation should exclude the cost of land, buildings, and equipment donated by federal, State or COUNTY governments and the cost of buildings and land contributed by the CONTRACTOR to satisfy funding matching requirements.
- For depreciation, an appropriate useful life must be established for the asset(s) which considers factors such as the nature of the asset used, susceptibility to technological obsolescence, etc.
- Appendix B to IRS Publication 946, "How to Depreciate Property", contains guidelines for establishing an asset's useful life.

- A use allowance is computed as an annual rate that may not exceed an annual rate of two-percent of the acquisition cost if the asset is a building or improvement. A use allowance in excess of the ceiling percentage must be justified by the CONTRACTOR.

4.4 Rental Costs of Buildings and Equipment

- Allowable to the extent that the rates are reasonable considering rental costs of comparable property, market conditions in the area, condition of the property being leased, etc.
- Under a “sale and leaseback” arrangement, rental costs would be allowable up to the amount that would be allowed if the CONTRACTOR had continued to own the property.
- Under a “less than arms length” lease, costs are only allowable up to the amount that would be allowable had title to the property vested in the CONTRACTOR.

4.5 Security

Physical security should be adequately maintained over fixed assets to prevent misuse or theft of COUNTY property.

4.6 Property Management

The CONTRACTOR shall assume responsibility and accountability for the maintenance of all fixed assets purchased, leased, or rented with Contract funds.

The CONTRACTOR shall report promptly, in writing, to the COUNTY all cases of theft, loss, damage, or destruction of fixed assets purchased with COUNTY funds. The report shall contain at a minimum, item identification, recorded value, facts relating to loss, and, where appropriate, a copy of the law enforcement report. In cases where the loss resulted from suspected criminal activity (e.g., theft, vandalism, arson, etc.) the incident must be reported to the local law enforcement agency with jurisdiction over the location of the suspected crime. A copy of the resulting crime/incident report must be retained by the agency for a period of time under which the underlying records were destroyed, or damaged were required to be retained plus an additional four years, and shall be retained for a longer period in the case of unresolved litigation, or audit.

CONTRACTOR shall dispose of or return to the COUNTY all fixed assets in accordance with the Contract.

- 5.0 Bonding – All officers, employees, and contractors who handle cash or have access to the contractor's funds (e.g., prepare checks, etc.) shall be bonded.
- 6.0 Investments – COUNTY program funds may not be utilized for investments where there is a risk of loss.

C. COST PRINCIPLES

1.0 Policy

It is the intent of the COUNTY to provide funds for the purpose of CONTRACTOR to provide the services required by the Agreement. CONTRACTOR shall use these funds on actual expenses in an economical and efficient manner and ensure they are reasonable, proper and necessary costs of providing services and are allowable in accordance with the applicable OMB Circular.

1.1. Limitations on Expenditures of Program Funds

CONTRACTOR shall comply with the Agreement and applicable OMB Circular(s). The Circular defines direct and indirect costs, discusses allowable cost allocation procedures and the development of Indirect Cost Rates, and specifically addresses the allowability of a variety of different costs.

If a CONTRACTOR is unsure of the allowability of any particular type of cost or individual cost, the CONTRACTOR should request advance written approval from the COUNTY prior to incurring the cost.

1.2 Expenses Incurred Outside the Agreement Period

Expenses charged against program funds may not be incurred prior to the effective date of the Agreement or subsequent to the Agreement termination, or expiration date. Similarly, current period expenses related to events or activities that occurred prior to the effective date of the Agreement may not be allowable. For example, legal costs incurred prosecuting or defending a lawsuit stemming from events which occurred during a period not covered by a valid Agreement between CONTRACTOR and COUNTY are not allowable.

1.3 Budget Limitation

Expenses may not exceed the maximum limits shown on the contract budget.

1.4 Unspent Funds

CONTRACTOR shall return any unspent program funds to the COUNTY, unless otherwise permitted by the contract. In addition, the COUNTY will determine the disposition of unspent program funds upon termination of the Agreement.

1.5 Necessary, Proper and Reasonable

Only those expenditures that are necessary, proper and reasonable to carry out the purposes and activities of the Program are allowable.

2.0 Allocable Expenses

For CONTRACTORS that operate programs or provide services in addition to the services required under contract, the CONTRACTOR shall allocate expenditures that benefit programs or funding sources on an equitable basis.

In accordance with the applicable OMB Circular(s), agencies shall define their allocable expenses as either direct or indirect costs (as defined below) and allocate each cost using the basis most appropriate and feasible.

The CONTRACTOR shall maintain documentation for allocated expenses (e.g., timecards, time summaries, square footage measurements, number of employees, etc.).

Under no circumstances shall allocated expenses be charged to an extent greater than 100% of actual expenses or the same expense be charged both directly and indirectly.

2.1 Direct Costs

Unless otherwise set forth in this contract, or required by the funding source(s), direct costs are defined as those costs that can be identified specifically with a particular final cost objective (e.g., a particular program, service, or other direct activity of an organization). Examples of direct costs include salaries and benefits of employees working on the program, supplies and other items purchased specifically for the program, costs related to space used by employees working on the program, etc.

For all employees, other than general and administrative, the hours spent on each program (activity) should be recorded on the employees' timecards and the payroll expenses should be treated as direct charges and distributed on the basis of recorded hours spent on each program.

Joint costs (i.e., costs that benefit more than one program or activity) which can be distributed in reasonable proportion to the benefits received may also be direct costs.

Examples of bases for allocating joint costs as direct costs:

- Number of direct hours spent on each program
- Number of employees in each program
- Square footage occupied by each program
- Other relevant and equitable methods of allocation

2.2 Indirect Costs

Indirect costs are those costs that have been incurred for common or joint purposes and cannot be readily identified with a particular final cost objective. Examples of indirect costs include salaries, employee benefits, supplies, and other costs related to general administration of the organization, depreciation and use allowances, and the salaries and expenses of executive officers, personnel administration, and accounting.

Examples of bases for allocating indirect costs:

- Total direct salaries and wages
- Total direct costs (excluding capital expenditures and other distorting items such as significant one-time expenses, or subcontractor payments)

2.3 Acceptable Indirect Cost Allocation Methods

OMB Circulars (i.e., A-87 and A-122) describe the following allowable methods for allocating indirect costs:

- Simplified allocation method
- Direct allocation method
- Multiple allocation base method
- Negotiated indirect cost rate

Simplified Allocation Method

This method can be used when an organization's major functions benefit from its indirect costs to approximately the same degree. Using this method, all allocable costs are considered indirect costs and an indirect cost rate is determined by dividing total allowable indirect costs by an equitable distribution base.

Example:

Agency-wide indirect costs	\$250,000
Less: Capital Expenditures	<u>10,000</u>
Allocable indirect costs	240,000
Total Agency-wide direct salaries	\$1,000,000
Indirect cost rate (\$240,000/\$1,000,000)	24%
Program direct salaries	\$100,000
Program indirect costs (24% x \$100,000)	<u>\$24,000</u>

Direct Allocation Method

This method can also be used when an organization's major functions benefit from its indirect costs to approximately the same degree. Using this method, all costs except general administration and general expenses are treated as direct costs. Joint costs for depreciation, rentals, facilities maintenance, telephone, and other similar expenses are prorated individually to each direct activity on a basis appropriate for that type of cost.

The remaining costs, which consist exclusively of general administration and general expenses, are then allocated using the simplified allocation method previously discussed.

Multiple Base Allocation Method

This method can be used when an organization's major functions benefit from its indirect costs in varying degrees. Using this method, indirect costs are grouped to permit allocation of each grouping on the basis of the benefits provided to the major functions. Each grouping is then allocated individually using the basis most appropriate for the grouping being allocated.

2.4 Cost Allocation Plan

If the CONTRACTOR has a negotiated indirect cost rate approved by a federal agency, it shall submit a copy of the approval letter when requested by COUNTY.

If the CONTRACTOR does not have a negotiated indirect cost rate, CONTRACTOR shall submit an annual Agency-wide Cost Allocation Plan when requested by COUNTY. The Cost Allocation Plan shall be prepared in accordance with COUNTY instructions and the applicable OMB Circular and include the following information:

1. CONTRACTOR general accounting policies:
 - Basis of accounting
 - Fiscal year
 - Method for allocating indirect costs (simplified, direct, multiple, negotiated rate)
 - indirect cost rate allocation base
2. Identify the CONTRACTOR'S direct and indirect costs (by category) and describe the cost allocation methodology for each category.
3. Signature of CONTRACTOR management certifying the accuracy of the plan.

Negotiated Indirect Cost Rates

Agencies have the option of negotiating an indirect cost rate or rates for use on all their federal programs. The CONTRACTOR must submit a cost allocation plan to the federal agency providing the most funds to the organization. The approved indirect cost rate is then applied to the total approved direct cost base.

If CONTRACTOR has a federally approved indirect cost rate, CONTRACTOR shall submit a copy of the approval letter to COUNTY upon request.

D. UNALLOWABLE COSTS

OMB Circulars address the allowability of a variety of different costs. For all costs, there are certain restrictions and limitations; however, the following costs are not allowable under any circumstances:

- Bad debts
- Contingency provisions
- Contributions and donations
- Fines and penalties (e.g., Including but not limited to NSF Check Fees, Traffic Citation Fees)
- Fundraising activities
- Interest expense (unless expressly allowed by federal guidelines)
- Losses on other awards

E. OVERPAYMENTS

If upon audit, or at any time during the Agreement year, it is determined that invoices submitted to the COUNTY which were used as a basis for payments to the CONTRACTOR were inaccurate, COUNTY shall determine the total overpayment and require the CONTRACTOR to repay COUNTY. The COUNTY may withhold payments from CONTRACTOR'S future payments for any amounts not returned to the COUNTY or credited to the Contract unless otherwise prohibited by State or federal regulations.

F. GOVERNANCE**OVERVIEW**

Large numbers of nonprofit corporations, organized for public benefit, receive public funds through contracts with Los Angeles County. Many County service contracts support key public initiatives, including protecting children, providing health care and foster employment, and reducing the effects of mental impairments and substance abuse.

Nonprofit organizations doing business with Los Angeles County must conduct their work in a manner consistent with their charitable mission and the public purposes embodied in County contracts. This demands that nonprofit agency governing boards be conscious of their fiduciary responsibilities in providing oversight and making decisions.

Directors, officers, and employees of nonprofit corporations with which Los Angeles County contracts shall not:

- permit or benefit from self-dealing transactions (unless permitted by law), or unreasonable compensation
- misuse or dissipate scarce public resources

1.0 Independence

It is recommend that Nonprofit agencies doing business with the County of Los Angeles have a governing board of at least 5 directors (however, under no circumstances shall a governing board have less than 3 directors), a majority of whom (1) have not been employed by it within 5 years before their election, (2) have no direct or indirect material financial interest in the organization, or any other relationship that could create a conflict of interest on the part of the director(s). A financial interest may exist for reasons of business, investment, or family relationship (including a director's brother, sister, ancestor, descendant, spouse, brother-in-law, sister-in-law, son-in-law, daughter-in-law, mother-in-law, or father-in-law).

"Financial interest" means an actual or potential ownership, investment, or compensation arrangement in or with any entity or individual with which the organization has, or is negotiating, a transaction or arrangement. The term "independent", when used to describe Directors who serve on the oversight committees described in paragraph 3.0 refers to persons meeting the requirements of this paragraph.

2.0 Oversight Mechanisms

An organization's governing board shall provide for its governance in accordance with the following:

- Adopt and disclose the organization's governance standards including director qualifications, responsibilities, and compensation.
- Adopt and disclose a code of business conduct and ethics for directors, officers, and employees, and promptly disclose to the County any waivers of the code affecting organization directors, ~~or~~ officers, or employees.
- Be familiar with the terms and conditions of all the Organization's County contracts. No less than annually, the board should review the Organization's compliance with contract provisions, particularly including insurance, internal control, federal and State reporting and payment requirements for payroll withholding, and report deviations to the County oversight department.

An organization's governance guidelines and code of ethics shall provide means to annually distribute to and obtain from directors, officers and employees written acknowledgments of their adherence to the organization's governing standards. They must incorporate a mechanism for disclosing and addressing possible conflicts of interest. They must provide for appropriate record-keeping, particularly of transactions and arrangements required to be reviewed by the governing board and where significant organization resources are expended by or for officers, directors and employees.

An organization's governance guidelines and code of ethics shall provide for "just and reasonable" compensation and benefits consistent with the compensation amount or guidelines established in the Organization's contract(s) with the County. Compensation and benefits should be determined in light of that paid to executives of agencies of comparable size and function (See Section B.3.3, "Limitations on Positions and Salaries"). No employee may receive compensation or benefits for more than one Organization job. For example, the CEO cannot receive

compensation or benefits for the job of CEO and another job such as program manager, etc.

3.0 Oversight Committees

An organization's governing board shall establish committees having the following characteristics, compensation, and duties.

Nominating Committee

The Board shall establish a nominating committee composed entirely of independent directors to consider new appointments to the Board.

Compensation and Benefits Committee

The Board shall establish a compensation and employee benefits committee composed entirely of independent directors to establish compensation and benefits for the Organization Chief Executive Officer (CEO), or President and the Chief Financial Officer (CFO), or Treasurer.

Audit Committee

The Board shall establish an Audit Committee of no fewer than three directors, all of whom must be independent, and one of whom shall have financial experience. In no event shall employees, including, but not limited to the president, chief executive officer, the treasurer, or chief financial officer serve on the Audit Committee.

Annual Audit Duties:

- If the Organization expends federal awards in excess of \$500,000 in a year (\$750,000 for fiscal years beginning on or after December 26, 2014), the Audit Committee will recommend an independent auditor to perform the annual single audit (under the provisions of OMB Circular A-133, Audits for States, Local Governments and Non-Profit Organizations) of the Organization's financial records to the Agency's Board of Directors. The audit shall be performed in accordance with Generally Accepted Government Auditing Standards and comply with the Single Audit Act.
- The Audit Committee must negotiate the independent auditor's compensation on behalf of the governing Board, oversee its work, and resolve disagreements between management and auditors regarding financial reporting.
- The Audit Committee must confer with the auditor to review the audit and decide whether to accept it, satisfy itself that the financial affairs of

the nonprofit organization are in order, and ensure that the County receives a copy of the annual audit report and all other audits, reviews, and other third party reports.

Additional Audit Committee Duties

The Audit Committee must:

- Establish procedures for receiving and addressing complaints regarding accounting, internal controls, and auditing matters.
- Monitor and take steps to ensure proper management response to major performance or fiscal deficits, such as the expressed concerns or claims of major creditors.
- Pre-approve all audit and non-audit services provided by the auditor. Non-audit services are defined as any professional services provided other than those provided in connection with an audit or review of the financial statements of the Organization. Following is a list of non-audit services for which the independent auditor cannot perform unless the firm follows the independence standard in the Yellow Book issued by the U.S. Comptroller General:
 - ✓ Bookkeeping or other services related to the accounting records, or financial statement of the audit client;
 - ✓ Financial information systems design and implementation;
 - ✓ Internal audit outsourcing services;
 - ✓ Management functions or human resources;
 - ✓ Investment adviser, or investment banking services;
 - ✓ Legal services and expert services unrelated to the audit.

G. MISCELLANEOUS REQUIREMENTS

1.0 Insurance

CONTRACTOR is responsible for securing and maintaining insurance coverage as required by the Agreement. CONTRACTOR must notify COUNTY when insurance is revoked, reduced to a level or coverage less than required, or otherwise made ineffective.

Insurance shall include an endorsement naming the COUNTY as an additional insured.

2.0 Activity

No funds, materials, property, or services contributed to the COUNTY or the CONTRACTOR under this Agreement shall be used in the performance of any political activity, the election of any candidate, or the defeat of any candidate for public office.

3.0 Reporting Fraud/Misconduct

CONTRACTORS are expected and required to report suspected fraud, waste, or misuse of public monies, and misconduct of County personnel to the Los Angeles County Fraud Hotline (Hotline). CONTRACTORS are also expected and required to report suspected fraud committed by their employees and subcontractors when that fraud affects their contract with the COUNTY. Reportable conditions include, but are not limited to:

- Requests for bribes/kickbacks/gratuities by County personnel.
- Favoritism/nepotism in the awarding of County contracts, or selection of vendors.
- Theft or misuse of any funds, resources or equipment.

Reportable conditions shall be reported to the Hotline upon their discovery by CONTRACTOR. Failure to report the types of fraud/misconduct discussed above may be grounds for contract termination.

The reporting party may remain anonymous. Reports can be made via telephone, mail or by internet to:

Online: www.lacountyfraud.org

Email: hotline@auditor.lacounty.gov

Toll Free: (800) 544-6861

U.S. Mail: Los Angeles County Fraud Hotline
Office of County Investigations
Kenneth Hahn Hall of Administration
500 W. Temple Street, Room 515
Los Angeles, CA 90012

AUDITOR-CONTROLLER/DEPARTMENT OF CHILDREN AND FAMILY SERVICES/PROBATION DEPARTMENT FISCAL AUDIT PHASES, FISCAL AUDITS OF FOSTER FAMILY AGENCY (FFA) FOSTER CARE SERVICES CONTRACTORS

I. Overview

To minimize delays and to increase understanding of the fiscal auditing process by COUNTY and the Foster Family Agency (FFA) Foster Care Services Contractor (referred to herein as CONTRACTOR), the following is a description of the fiscal audit protocols followed by the Auditor-Controller (A-C), the Department of Children and Family Services (DCFS), and the Probation Department (Probation) during fiscal audit reviews. All specified timeframes are estimated, and actual timeframes may differ depending on A-C and DCFS/Probation staffing, workload, and coordination of scheduling with each CONTRACTOR. The period(s) to be audited shall be consistent with the Contractor's accounting year-end.

II. Purpose of Fiscal Audit Review

The purpose of the fiscal audit review will be to determine whether, pursuant to the Agreement, FFA foster care services monies are appropriately accounted for and Expended on reasonable and allowable Expenditures in providing the necessary care and services for children placed by COUNTY and served by CONTRACTOR. A-C staff also evaluates the adequacy of CONTRACTOR's accounting records, internal controls, and compliance with the Agreement and applicable federal and State regulations governing the disbursement of foster care funds.

III. Applicable Regulations

We refer to the following guidelines and regulations in conducting our fiscal audits:

- County FFA Master Agreement, including Exhibit C-2, Auditor-Controller FFA Contract Accounting and Administration Handbook
- Uniform Administrative Requirements – 2 Code of Federal Regulations – Section 200
- California Department of Social Services Manual of Policies and Procedures
- California Code of Regulations, Title 22

IV. Notification of Review

A-C staff will contact CONTRACTOR's representatives to notify them of the fiscal audit review and to arrange for an entrance conference. Absent extenuating circumstances, the entrance conference is to be held within 30 calendar days of request, at a mutually agreeable time. A letter will be sent to CONTRACTOR confirming the scheduled entrance conference date, time and location, and

applicable documents that need to be available for review. DCFS/ Probation will be sent a copy of the confirmation letter.

V. Entrance Conference

Prior to the entrance conference, A-C staff will have reviewed the CONTRACTOR's Program Statement and Agreement to become familiar with the program and to identify questions or issues to be addressed or clarified during the entrance conference.

The entrance conference permits the CONTRACTOR and the A-C staff to discuss the scope of the review. A-C staff will introduce themselves, give a brief summary of the review objectives, discuss CONTRACTOR operating hours, work space, and CONTRACTOR's fiscal audit contact person, and perform an inventory of the CONTRACTOR's records requested in the confirmation letter. CONTRACTOR should ensure appropriate fiscal personnel are in attendance to answer any questions and discuss any concerns and problems encountered with CONTRACTOR records.

VI. Preliminary

The preliminary work will start after the entrance conference. This phase is an educational process for A-C staff. All requested documentation must be made available to the A-C Staff, including but not limited to, employee records, children's case files containing clothing and food receipts, and those records identified in Section 11.0, Records and Investigations, of the Agreement.

Preliminary work will consist of becoming familiar with CONTRACTOR's accounting system and financial and accounting records, and evaluating its system of internal controls. From this work, A-C staff will determine how the records will be tested and the extent of detailed testwork that will be performed in each area (i.e., billings, salaries, non-personnel expenditures, etc.).

It is important for CONTRACTOR to have its financial and accounting records available or prepare final schedules detailing all financial activities of CONTRACTOR for the fiscal audit review period. This will expedite the review and provide A-C staff with the population of transactions subject to review.

VII. Detailed Field Work

The detailed fieldwork is an extension of the preliminary work and involves a more in-depth review of accounting and financial records, documents and transactions. A-C staff will be requesting information from CONTRACTOR in the

various areas under review. The duration of detailed fieldwork varies and may take from a few weeks to several months to complete, depending on CONTRACTOR availability, condition of, and availability of the account records, and other variables.

Preliminary findings will be verbally discussed with CONTRACTOR during this stage of the review.

VIII. Summary of Preliminary Results

Upon completion of the fieldwork, CONTRACTOR will be provided a summary of the preliminary results to allow the CONTRACTOR to comment, and ensure all relevant documentation has been obtained. Absent extenuating circumstances, a due date of no less than ten (10) business days, from the date CONTRACTOR is provided a summary of preliminary results, will be set by the A-C staff for CONTRACTOR to present additional documentation in response to the summary of preliminary results. Documentation provided after the due date may not be reflected in the draft fiscal audit report and/or may delay completion of the fiscal audit process.

IX. Preliminary Draft Fiscal Audit Report/Pre-exit Meeting

Within 30 calendar days of the due date for receipt of additional information from CONTRACTOR, A-C staff will issue to CONTRACTOR a preliminary draft fiscal audit report, which contains preliminary draft findings and recommendations. The preliminary draft fiscal audit report will be sent via electronic mail to the CONTRACTOR's Chief Executive Officer and Chief Financial Officer. A copy of the preliminary draft fiscal audit report will be provided to DCFS/Probation.

After receipt of the preliminary draft fiscal audit report, CONTRACTOR may request a pre-exit meeting with A-C, DCFS/Probation staff to discuss the preliminary draft fiscal audit report. If CONTRACTOR desires a pre-exit meeting, CONTRACTOR must submit its request in to the A-C either by telephone, or electronic mail, within 30 calendar days following receipt of the preliminary draft fiscal audit report. If CONTRACTOR does not request a pre-exit meeting in writing within the allowable time period, CONTRACTOR will be deemed to have waived the right to a pre-exit meeting.

If CONTRACTOR and A-C/DCFS/Probation hold a pre-exit meeting:

*The pre-exit meeting will be held in person or if mutually agreed upon, by telephone, and participants will include the A-C, DCFS, Probation, and CONTRACTOR's staff/management and non-legal representatives who are knowledgeable of the events in relation to the preliminary draft fiscal audit report being discussed.

At the pre-exit meeting, CONTRACTOR may provide additional documentation related to the findings and recommendations included in the preliminary draft fiscal audit report. After the pre-exit meeting, A-C and DCFS/Probation staff will review the documentation and determine its effect, if any, on the findings and recommendations. A-C and DCFS/Probation staff will revise the preliminary draft fiscal audit report, as A-C and DCFS/Probation determine appropriate. The preliminary draft fiscal audit report updated for any revisions deemed appropriate by the A-C and DCFS/Probation will herein be referred to as the exit draft fiscal audit report.

- **NOTE:** In general, A-C, DCFS/Probation will not review any additional documentation, which CONTRACTOR provides, related to the findings and recommendations in the preliminary draft fiscal audit report, at any time subsequent to the pre-exit meeting. However, in the event extenuating circumstances exist, A-C, DCFS/Probation may at their sole discretion, consider additional documentation submitted subsequent to the pre-exit meeting. CONTRACTOR should therefore be sure to provide all information, which it deems relevant at the pre-exit meeting to ensure that it is taken into consideration.

If CONTRACTOR and A-C/DCFS/Probation do not hold a pre-exit meeting:

- A-C, DCFS/Probation will not review any additional documentation, which CONTRACTOR provides, related to the findings and recommendations in the preliminary draft fiscal audit report.

A-C and DCFS/Probation staff will issue the exit draft fiscal audit report (see Section X Issuance of Exit Draft Fiscal Audit Report).

X. Issuance of Exit Draft Fiscal Audit Report

An exit draft fiscal audit report will be prepared and sent to CONTRACTOR. CONTRACTOR will be asked to review the exit draft fiscal audit report and prepare for an exit conference, which will be scheduled within 30 calendar days of the date the exit draft fiscal audit report is received by CONTRACTOR. A-C and DCFS/Probation will contact CONTRACTOR to schedule the exit conference.

XI. Exit Conference

The purpose of the exit conference is to discuss the exit draft fiscal audit report, and the findings and recommendations contained therein, as well as any proposed wording changes, which may be sought by CONTRACTOR.

COUNTY's role at the exit conference will be to answer questions regarding COUNTY policies, and clarify administrative procedures to be followed after the

A-C and DCFS/Probation issue the final report. COUNTY personnel will defer any discussion related to the resolution of specific findings and recommendations until the final report is officially released.

In consideration of the discussions at the exit conference, the A-C and DCFS/Probation may, in their sole discretion, make revisions to the exit draft fiscal audit report. A-C/DCFS staff will notify CONTRACTOR via phone of any revisions to the exit draft fiscal audit report. The exit draft fiscal audit report, updated for any revisions deemed appropriate by the A-C and DCFS, will herein be referred to as the final draft fiscal audit report.

XII. CONTRACTOR Response to Final Report

Within thirty (30) calendar days of the date the final draft fiscal audit report is received by CONTRACTOR, CONTRACTOR shall submit a response to the findings and recommendations, via first-class mail, to the DCFS/Probation Fiscal Monitoring Section (see Amendment Number One, subsection 9.5). The response should address each of the findings affecting CONTRACTOR's operations, including but not limited to compliance/internal control issues and identified questioned Expenditures, and indicate corrective actions planned or already taken. As to corrective actions planned, CONTRACTOR shall identify the dates that corrective action will be implemented and completed.

XIII. DCFS/Probation Response to Final Report

DCFS/Probation (or another office/agency within Los Angeles County) will evaluate the adequacy of the CONTRACTOR's written response to the final draft fiscal audit report. Within 25 calendar days of DCFS/Probation's receipt of CONTRACTOR's written response to the final draft fiscal audit report, DCFS/Probation will provide CONTRACTOR with DCFS/Probation's written response, which sets forth the required DCFS/Probation corrective action plan (CAP). Should Contractor disagree with the contents of the CAP, Contractor shall submit a response to the DCFS/Probation CAP within 15 business days via electronic mail to DCFS Fiscal Monitoring Section/Probation Central Placement Office. DCFS/Probation will review the Contractor's response to the DCFS/Probation CAP and issue a final required DCFS/Probation Corrective Action Plan within 5 calendar days. Should CONTRACTOR not comply with the Corrective Action Plan, DCFS/Probation may, in their sole discretion, exercise any and all remedies, including but not limited to placement of CONTRACTOR on Do Not Refer or Do Not Use status.

XIV. Final Report to the Board of Supervisors

The A-C, DCFS/Probation will make every effort to issue the final report, with the Contractor's response attached, to the Board of Supervisors within 60 calendar days after the issuance date of the final draft fiscal audit report. CONTRACTOR

will be provided with a copy of the final report at the same time as it is issued to the Board of Supervisors. The final report along with the Contractor's response and DCFS'/Probation's CAP will be posted on the A-C website and will be deemed a public record pursuant to the Public Records Act (Cal. Govt. Code section 6250, et seq.) It is the policy of the A-C to post final reports on the website within 24 hours of issuance.

XV. Establishment of a Repayment Plan

Within thirty calendar days of the date of DCFS'/Probation's response to the Final Report, CONTRACTOR, shall schedule an appointment with DCFS Fiscal Monitoring staff/Probation Central Placement Office to sign a repayment agreement for recovery of the questioned Expenditures identified in the Final Report. CONTRACTOR shall sign the repayment agreement no later than 30 calendar days after the date of DCFS/Probation response to the Final Report. Should CONTRACTOR not comply with the repayment plan for questioned Expenditures, DCFS/Probation may, in their sole discretion, exercise any and all remedies, including but not limited to placement of CONTRACTOR on Do Not Refer or Do Not Use status.

CONTRACTOR EMPLOYEE ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

Contractor Name _____ Employee Name _____

County Master Agreement No. _____

GENERAL INFORMATION:

Your employer referenced above has entered into a Master Agreement with the County of Los Angeles to provide certain services to the County. The County requires your signature on this Contractor Employee Acknowledgement and Confidentiality Agreement.

EMPLOYEE ACKNOWLEDGEMENT:

I understand and agree that the Contractor referenced above is my sole employer for purposes of the above-referenced Master Agreement. I understand and agree that I must rely exclusively upon my employer for payment of salary and any and all other benefits payable to me or on my behalf by virtue of my performance of work under the above-referenced Master Agreement.

I understand and agree that I am not an employee of the County of Los Angeles for any purpose whatsoever and that I do not have and will not acquire any rights or benefits of any kind from the County of Los Angeles by virtue of my performance of work under the above-referenced Master Agreement. I understand and agree that I do not have and will not acquire any rights or benefits from the County of Los Angeles pursuant to any agreement between any person or entity and the County of Los Angeles.

I understand and agree that I may be required to undergo a background and security investigation(s). I understand and agree that my continued performance of work under the above-referenced Master Agreement is contingent upon my passing, to the satisfaction of the County, any and all such investigations. I understand and agree that my failure to pass, to the satisfaction of the County, any such investigation shall result in my immediate release from performance under this and/or any future Master Agreement.

CONFIDENTIALITY AGREEMENT:

I may be involved with work pertaining to services provided by the County of Los Angeles and, if so, I may have access to confidential data and information pertaining to persons and/or entities receiving services from the County. In addition, I may also have access to proprietary information supplied by other vendors doing business with the County of Los Angeles. The County has a legal obligation to protect all such confidential data and information in its possession, especially data and information concerning health, criminal, and welfare recipient records. I understand that if I am involved in County work, the County must ensure that I, too, will protect the confidentiality of such data and information. Consequently, I understand that I must sign this agreement as a condition of my work to be provided by my employer for the County. I have read this agreement and have taken due time to consider it prior to signing.

I hereby agree that I will not divulge to any unauthorized person any data or information obtained while performing work pursuant to the above-referenced Master Agreement between my employer and the County of Los Angeles. I agree to forward all requests for the release of any data or information received by me to my immediate supervisor.

I agree to keep confidential all health, criminal, and welfare recipient records and all data and information pertaining to persons and/or entities receiving services from the County, design concepts, algorithms, programs, formats, documentation, Contractor proprietary information and all other original materials produced, created, or provided to or by me under the above-referenced Master Agreement. I agree to protect these confidential materials against disclosure to other than my employer or County employees who have a need to know the information. I agree that if proprietary information supplied by other County vendors is provided to me during this employment, I shall keep such information confidential.

I agree to report to my immediate supervisor any and all violations of this agreement by myself and/or by any other person of whom I become aware. I agree to return all confidential materials to my immediate supervisor upon completion of this Master Agreement or termination of my employment with my employer, whichever occurs first.

SIGNATURE: _____ DATE: ____/____/____

PRINTED NAME: _____

POSITION: _____

RESOURCE FAMILY PARENT ACKNOWLEDGEMENT AND CONFIDENTIALITY AGREEMENT

GENERAL

This is to emphasize that it is necessary to protect the confidentiality of information obtained from the Department of Children and Family Services.

I understand that the foster family agency _____ approving my resource home, has entered into a Contract with the County of Los Angeles to provide foster care support services to the County.

As a resource foster parent of _____, I must sign the Resource Family Parent Confidentiality Agreement (on the reverse side of this page or attached) as a condition of my approval by _____.

RESOURCE FAMILY FOSTER PARENT ACKNOWLEDGEMENT

I understand that _____ is my approving foster family agency. I rely exclusively upon the foster family agency approving my home for reimbursement of expenses for basic services I provide for children placed in my home and any and all other benefits I receive on my behalf during the period of this relationship.

I understand and agree that I am not an employee of Los Angeles County's Department of Children and Family Services for any purpose and that I do not have any, and will not acquire any, rights or benefits from the County of Los Angeles pursuant to any contract between the foster family agency approving my home and the County of Los Angeles, unless I have obtained a signed written waiver to this prohibition from the DCFS Director, or delegate, for purposes of entering into a foster-adoption plan of action.

RESOURCE FAMILY PARENT CONFIDENTIALITY AGREEMENT

As _____ an approved resource foster parent of _____ involved with work pertaining to County services, I may have access to confidential data pertaining to clients of the Department of Children and Family Services (DCFS). All clients of DCFS are assured that information that they give is confidential. Names, addresses and all other information concerning the circumstances of any individual for whom or about whom information is obtained are confidential. This is true of all information whether written or oral.

I understand that I may not discuss any situation(s), which could possibly identify an individual, nor shall names, addresses or any other identifying information of applicants, clients, foster parents or birth parents ever be discussed. I will not read narratives, letters, documents or other information except as necessary in the performance of my duties. In the event that I find that I am assigned work in connection with a family or a client known to me, it is my responsibility to ask that work on that particular case be transferred.

I hereby agree that I will not divulge to any unauthorized person any information obtained while performing work pursuant to the Contract between _____ and the County of Los Angeles.

I agree to refer all requests for the release of information received by me to the Foster Family Agency certifying my home.

I agree to report any and all violations of the above by any other person and myself to the Foster Family Agency approving my home and I agree to ensure that the Foster Family Agency approving my home reports such violations to the County of Los Angeles Department of Children and Family Services. I agree to return all materials to the Foster Family Agency approving my home upon termination of my certification by _____ or removal of my last placed child, whichever comes first.

I acknowledge that violation of this Certified Foster Parent Confidentiality Agreement may subject me to civil and/or criminal action and that the County of Los Angeles will seek all possible legal redress.

Name _____
(Signature)

Name _____
(Print)

Date _____

OPTIONAL: use if Probation youth will be served, remove if not

CONFIDENTIALITY OF CRIMINAL OFFENDER RECORD INFORMATION

Criminal Offender Record Information (CORI) is that information which is recorded as the result of an arrest, detention or other initiation of criminal proceedings including any consequent proceedings related thereto. As an employee of _____ during the legitimate course of duties, you may have access to CORI. The Probation Department has a policy of protecting the confidentiality of Criminal Offender Record Information.

You are required to protect the information contained in the case files against disclosure to all individuals who do not have a right-to-know this information.

The use of any information obtained from case files or other related sources of CORI to make contacts with probationers or other relatives, or make CORI available to anyone who has no real and proper reason to have access to this information as determined solely by the Probation Department is considered a breach of confidentiality, inappropriate and unauthorized.

Any _____ employee engaging in such activities is in violation of the Probation Department's confidentiality policy and will be subject to appropriate disciplinary action and/or criminal action pursuant to Section 11142 of the Penal Code.

I have read and understand the Probation Department's policy concerning the confidentiality of CORI records.

(Signature)

Name (Print)

Title

Date

Copy to be forwarded to Probation Contract Manager within five (5) business days of start of employment.

Los Angeles County Foster Family Agency Annual Revenue and Expenditure Report					
Contractor Name:					
Contract Number	Contractor Fiscal Year (MO/YR - MO/YR)	Number of L.A County Children	Total Number of Children	L.A. County Child Days of Care	Total Child Days of Care
A. Contract Revenues					Total
1 AFDC-FC Revenues					
B. Expenditures			Program Costs	Offsets	Final Costs
1a	Executive Director Salary				
1b	Assistant Director Salary				
1c	Administrator Salary				
1d	All Other Administrative Salaries				
2	Recruitment Payroll				
3	Training Payroll				
4	Administrative Contracts				
5	Telephone				
6	Postage and Freight				
7	Office Supplies				
8	Conferences, Meetings, and In-Service Training				
9	Memberships, Subscriptions, and Dues				
10	Printing and Publications				
11	Bonding and Contractually Required Insurance Premiums				
12	Advertising				
13	Miscellaneous				
14	Building and Equipment Payroll				
15	Building Rents and Leases				
16	Mortgage Acquisition Costs, Depreciation, and Interest				
17	Property Appraisal Fees				
18	Property Taxes				
19	Equipment and Property Insurance not included in 11 above.				
20	Utilities				
21	Building Maintenance				
22	Building and Equipment Contracts				
23	Building and Equipment Supplies				
24	Equipment Leases				
25	Equipment Depreciation Expense				
26	Expendable Equipment				
27	Building and Equipment Miscellaneous				
28	Vehicle Leases				
29	Vehicle Depreciation				
30	Vehicle Operating Costs				
31	Total Paid to Certified Family Homes				
32	Other Child-Related Costs, Not Provided by Certified Family Homes				
33	Social Worker Payroll				
34	Direct Care Contracts				
35	Total Expenditures				
C. Current Unexpended AFDC-FC Funds or Current Deficit (Section A Line 1 Less Section B Line 35)					
D. Unexpended AFDC-FC Funds or Deficit from Prior Fiscal Years.					
E. Total Accumulated Unexpended AFDC-FC Funds (TAUF) or Accumulated Deficit (Add Lines C and D)					
F. Contract Expenditures for Three Most Current Months in Report Fiscal Year					
If Section E is greater than Section F, submit a plan along with this report to DCFS describing how the Contractor plans to utilize the TAUF for the benefit of Placed Children for reasonable and allowable costs.					

I hereby certify to the best of my knowledge, under penalty of perjury, that the above report is true and correct, that the amounts reported are traceable to the Agency's accounting records, and that all AFDC-FC monies received for the purposes of this program were spent in accordance with the contract program requirements, the agreement and all applicable Federal, State, and County laws and regulations. Falsification of any amount disclosed herein shall constitute a false claim pursuant to California Government Code Section 12650 et. seq.

--

Executive Director
Signature
Date

--

Board Treasurer
Signature
Date

**Department of Children and Family Services and the Probation Department
Foster Family Agency Contract
Annual Revenue and Expenditure Report**

This section may be changed, updated or amended to incorporate The California Department of Social Services (CDSS) Financial reporting and cost reporting forms for Foster Family Agencies as identified in the Interim Licensing Standards or in All County Letters, Information Notices, Foster Care Audits and Rates Letters or other notices issued by CDSS.

In addition, the submission of this report may be changed to an electronic web based portal that can be accessed by the Contractor to log in and submit.

INSTRUCTIONS FOR COMPLETING ANNUAL REVENUE AND EXPENDITURE REPORT

The following are the instructions for completing the Department of Children and Family Services (DCFS) and Probation Department Annual Revenue and Expenditure Report:

Provide Identifying Information:

Contractor Name

Enter the Corporate:

Enter the Licensee's name:

Contract Number

Enter the contract number for the County Program

Enter the Aid to Families for Dependent Children Foster Care Rate Program Number:

Contractor Fiscal Year

Enter the Contractor's most recently completed fiscal year. This is also referred to as the Contractor's reporting period.

Number of County of Los Angeles placed children and youth

Enter the total number of County of Los Angeles County DCFS placed children the Contractor provided Foster Family Agency (FFA) services to in the reporting period.

Enter the total number of County of Los Angeles Probation placed youth the Contractor provided FFA services to in the reporting period.

Enter the total number of County of Los Angeles Non-Minor Dependents the Contractor provided FFA services to in the reporting period.

Total Number of Children

Enter the total number of children the Contractor provided FFA services to in the reporting period.

County of Los Angeles days of care

Enter the total days of care provided to all County of Los Angeles placed children, youth and NMDs by the Contractor's FFA Program during the reporting period.

Total Child Days of Care

EXHIBIT E

Enter the total days of care provided to all children, youth and NMDs placed with the Contractor's FFA Program during the reporting period.

Report County Program Revenues and Expenditures:

For the Annual Revenue and Expenditure Report, revenues and expenditures should be reported based on revenues earned and costs incurred during the reporting period. All revenues and expenditures reported must be traceable to the Contractor's accounting records. Expenditures used directly on the Contractor's program or allocable as shared or indirect expenses to the Contractor's Program cannot be excluded solely for reporting purposes on the Annual Revenue and Expenditure Report.

A. Revenue

AFDC-FC-FFA Revenue

Report the total of all AFDC-FC FFA payments received for children, youth and NMDs placed by the County of Los Angeles.

Please make a separate notation of all money received for clothing or any other non-AFDC-FC funds received during the reporting period.

B. Expenditures

Program Costs Incurred

For each line item cost, enter total program expenditures that were incurred during the Contractor's fiscal year related to the County Program. Total program expenditures include expenditures that were directly used for or allocated to the County Program. Program expenditures should be allocated in accordance with requirements contained in Sections 25.2 and 25.3 of the Contract. If a cost item is shared among two or more programs, enter only the amount that can be attributed to County of Los Angeles placed children, youth or NMDs to operate the FFA Program.

Offsets

For each line item cost, enter total non-Program funds that were expended for program expenditures during the Contractor's fiscal year. For example, if the Contractor incurred unallowable program expenditures for the County Program, but used non-Program funds to cover the expenditures, then include the non-Program funds expended in the offsets. Enter only the amount used for services provided to County of Los Angeles placed children, youth and NMDs.

Final Costs

For each line item cost, subtract offsets from Program costs to obtain final costs charged to the County program.

The following is an explanation for completing each expenditure line item:

1a. Chief Executive Officer's Salary

Report all payroll costs for the Chief Executive Officer, include all payroll, payroll taxes and employee benefits as applicable.

1b. Assistant/Associate/Other Corporate Officers Salary

EXHIBIT E

Report all payroll costs for the Assistant/Associate and all other Corporate Officers salary. Include all payroll, payroll taxes and employee benefits as applicable.

1c. Foster Family Agency Program Administrator Salary

Report all payroll costs for the Administrator(s). Include all payroll, payroll taxes and employee benefits as applicable.

1d. Mental Health Service Head

Report all costs for the Mental Health Service Head (s). Include any applicable payroll, payroll taxes and employee benefits, or an Independent Contractor costs as applicable.

1e. All Other Administrative Salaries

Report all payroll costs for the all other administrative staff. Include all payroll, payroll taxes and employee benefits as applicable.

2. Recruitment Payroll

Report all payroll costs for recruitment staff, please specify the difference between Resource Family Recruiters and employee and staff recruitment costs.

3. Training Costs

Report all costs for all training, both employees and independent contractors.

4. Administrative Contracts

Legal, consulting or other contract fees related to the program.

5. Communication devices telephone, cell phones, Internet Access remote electronic devises,

Report all costs related to telephone, cell phone, internet access and remove electronic devices, computers, tablets, i-pads, e.g.

6. Postage and Freight

Report all costs related to postage, mailings, and shipping.

7. Office Supplies

Report all costs incurred for office supplies.

8. Conferences, Meetings and In-Service Training

Report all costs, including travel and per-diem, related to conferences meetings, and training.

9. Memberships, Subscriptions, and Dues

Report all costs incurred for memberships, subscriptions, and dues.

10. Printing and Publications

Report all costs incurred for printing and publications.

11. Bonding and Contractually Required Insurance Premiums

Report all costs incurred for bonding and contractually required insurance premiums.

12. Advertising

Report all costs incurred for advertising.

13. Miscellaneous

Report all other costs that are not included in any other specifically identified line items.

14. Building and Equipment Payroll

Report all program building and equipment payroll costs. Include all payroll, payroll taxes and employee benefits as applicable.

15. Building Rents and Leases

Report all costs incurred for rents or leases of buildings.

16. Mortgage Acquisition Costs, Depreciation, and Interest

Report all costs related to acquisition of a mortgage, depreciation and interest.

17. Property Appraisal Fees

Report all costs incurred for property appraisal fees.

18. Property Taxes

Report all costs incurred for payment of property taxes.

19. Equipment and Property Insurance not included in 11 above.

Report all costs incurred for equipment and property insurance not included in 11 above.

20. Utilities

Report all costs incurred for electricity, gas, water, sewer, and garbage.

21. Building Maintenance

Report all building maintenance costs related to the program.

22. Building and Equipment Contracts

Report building equipment payroll, payroll taxes and employee benefits and any other cost of building and equipment contracts.

23. Building and Equipment Supplies

Report all building and equipment supply costs.

24. Equipment Leases

Report all costs incurred for equipment leases.

25. Equipment Depreciation Expense

Report all depreciation expense related to equipment.

26. Expendable Equipment

Report all costs incurred for purchases of expendable (non-capitalized) equipment.

27. Building and Equipment Miscellaneous

Report miscellaneous building and equipment costs not previously identified.

28. Vehicle leases/purchase

Report all costs related to vehicle leases.

29. Vehicle Depreciation

Report all depreciation expense related to vehicles.

30. Vehicle Operating Costs

Report all vehicle operating and maintenance costs.

31. Total Paid to Certified Foster Parents (CFPs) or to Approved Resource Families

Report all payments made to either CFPs or to Approved Resource Families.

32. Other Child-Related Costs

Report all other child related costs incurred by the FFA to provide services to the placed children, youth or NMDs. Do not include payments made to CFPs or Approved Resource Families (reported in line 31).

33. Social Worker Payroll

Report all social worker payroll costs. Include payroll, payroll taxes, and benefits as applicable.

34. Direct Care Contracts

Report any direct care contract costs not identified elsewhere.

35. Total Contract Expenditures

The total of allowable contract expenditures related to the care and services of placed Los Angeles County children reported by the Agency in Section B, Lines 1 through 34.

C. Current Unexpended AFDC-FC Funds or Current Deficit

The difference between Total Los Angeles County AFDC-FC Revenues (Section A, Line 1) and Total Contract Expenditures (Section B, Line 35)

D. Unexpended AFDC-FC Funds or Deficit from the most recent prior Fiscal Year

For the Contractor's prior fiscal year, were there unexpended AFDC-FC funds? If yes, please enter the total amount. Or was there a deficit, if yes, please enter that total amount.

E. Total Accumulated Unexpended AFDC-FC Funds (TAUF) or Accumulated Deficit

The total of Sections C and D.

Agency Certification

Upon completing the Annual Revenue and Expenditure Report, the Chief Executive Officer, Chief Financial Officer or equivalent and the Board Treasurer must sign and date the report at the bottom. By signing this form, the Chief Executive Officer, Chief Financial Officer and Board Treasurer are certifying under penalty of perjury that all information contained in the report is correct, that the amounts are traceable to agency accounting records, and that all County of Los Angeles AFDC-FC program funds were spent in accordance with County, State and Federal laws. The report must be submitted by the 120th calendar day after the end of the reporting period to:

DCFS (This may be changed to a web portal)

Fiscal Compliance
Attn: Financial Specialist
3530 Wilshire Blvd 5th Floor
Los Angeles, CA 90010.