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DEPARTMENT OF CHILDREN AND FAMILY SERVICES
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March 28, 2014

To: Supervisor Don Knabe, Chairman
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Supervisor Zev Yaroslavsky
Supervisor Michael D. Antonovich

From: Philip L. Browning
Director

PENNY LANE FOSTER FAMILY AGENCY CONTRACT COMPLIANCE MONITORING REVIEW

The Department of Children and Family Services (DCFS) Out-of-Home Care Management Division (OHCMD) conducted a review of Penny Lane Foster Family Agency (the FFA) in November 2013. The FFA has three licensed offices, with one located in the First Supervisorial District, one located in the Third and one located in the Fifth Supervisorial Districts, and provides services to County of Los Angeles DCFS foster children and youth. According to the FFA's program statement, its mission is "provide children with a continuity of care, nurturance and services to meet their individual needs and those of their families."

At the time of the review, the FFA supervised 300 DCFS placed children in 132 certified foster homes. The placed children's average length of placement was five months, and their average age was eight.

SUMMARY

During OHCMD's review, the interviewed children generally reported: feeling safe at the FFA; having been provided with good care and appropriate services; being comfortable in their environment and being treated with respect and dignity. The certified foster parents reported they were supported by the FFA staff in their efforts to provide care, supervision and service delivery to the children placed in their homes.

The FFA was in full compliance with 7 of 11 sections of our contract compliance review: Facility and Environment, Health and Medical Needs, Psychotropic Medication, Personal Rights and Emotional Well-Being, Personal Needs/Survival and Economic Well-Being, Discharged Children and Personnel Records.

OHCMD noted deficiencies in the areas of Licensure/Contract Requirements, related to citations by Community Care Licensing (CCL) as a result of deficiencies and findings; Certified Foster Homes, related to a home study for one certified foster parent not being completed prior to certification; Maintenance of Required Documentation and Service Delivery, related to the progress for two children was not addressed in the Needs and Services Plans (NSPs) and the Quarterly Reports for three children were not comprehensive, as they did not include all of the elements in accordance with NSP template; and Education and Workforce Readiness, related to services not being provided to a child who was doing poorly in school.

Attached are the details of our review.

REVIEW OF REPORT

On January 4, 2014, the DCFS OHCMD Monitor, Greta Walters, held an Exit Conference with the FFA representatives, Judith Sandino, Director, Trisha Stewart, Regional Administrator, Monica Smith, Regional Administrator and Charito Carrillo, Regional Administrator. The FFA's representatives: agreed with the review findings and recommendations; were receptive to implementing systemic changes to improve their compliance with regulatory standards; and agreed to address the noted deficiencies in a Corrective Action Plan (CAP).

A copy of this report has been sent to the Auditor-Controller and CCL.

The FFA provided the attached approved CAP addressing the recommendations noted in this compliance report. OHCMD will verify that these recommendations have been implemented and provide technical assistance during our next visit to the FFA in July 2014. An addendum to the report will be submitted 30 days after the completion of the review to address CAP implementation.

If you have any questions, please call me or your staff may contact Aldo Marin, Board Relations Manager, at (213) 351-5530.

PLB:EM:KR
RDS:gw

Attachments

c: William T Fujioka, Chief Executive Officer
Wendy L. Watanabe, Auditor-Controller
Public Information Office
Audit Committee
Ivalise Marcovitis, Executive Director, Penny Lane FFA
Angelica Lopez, Acting Regional Manager, Community Care Licensing

PENNY LANE FOSTER FAMILY AGENCY
CONTRACT PROGRAM COMPLIANCE MONITORING REVIEW-SUMMARY

15305 Rayen Street North Hills, CA 90248 License Number: 197804493	43520 Division Street Lancaster, CA 93535 License Number: 197805739	2450 Atlantic Blvd., Ste. 102 Commerce, CA 90040 License Number: 197085207

	Contract Compliance Monitoring Review	Findings: November 2013
I	**Licensure/Contract Requirements** (7 Elements)	
	1. Timely Notification for Child's Relocation	1. Full Compliance
	2. Serious Incident Report Documentation and Cross Reporting	2. Full Compliance
	3. Runaway Procedures in Accordance with the Contract	3. Full Compliance
	4. Are there CCL Citations/OHCMD Safety Reports	4. Improvement Needed
	5. If Applicable, FFA Ensures Complete Required Whole Foster Family Home (WFFH) Training	5. Not Applicable
	6. FFA Pays Certified Foster Parents (CFP) WFFH Required Supplemental Payments	6. Not Applicable
	7. FFA Conducts an Assessment of CFP Prior to Placement of Two (2) or More Children	7. Full Compliance
II	**Certified Foster Homes (CFHs)** (12 Elements)	
	1. Home Study and Safety Inspection Conducted Prior to Certification	1. Improvement Needed
	2. Agency's Inquiry with OHCMD for Historical Information Prior to Certification	2. Full Compliance
	3. Timely Criminal Clearances (DOJ, FBI, CACI) Prior to Certification	3. Full Compliance
	4. Timely, Completed, Signed Criminal Background Statement	4. Full Compliance
	5. Health Screening & TB Test Prior to Certification	5. Full Compliance
	6. All Required Training Prior to Certification	6. Full Compliance
	7. Certificate of Approval on File/Including Capacity	7. Full Compliance
	8. Safety Inspections Completed At Least Every Six Months or Per Approved Program Statement	8. Full Compliance
	9. Completed Annual Training Hours for Re-certification and Current CPR/First-Aid/Water Safety Certificates	9. Full Compliance
	10. Current CDL/Auto Insurance/Annual Vehicle Maintenance Documentation for CFPs and Designated Drivers, if Applicable Car Seat(s)	10. Full Compliance
	11. Criminal Clearances and Health Screening/CDL/CPR/DOJ/FBI/CACI/Auto Insurance for Other Adults in the Home	11. Full Compliance
	12. FFA Assists CFPs in Providing Transportation	12. Full Compliance

III	**Facility and Environment** (7 Elements) 1. Exterior/Grounds Well Maintained 2. Common Areas/Interior Well Maintained 3. Children's Bedrooms/Interior Well Maintained 4. Sufficient and Appropriate Educational Resources 5. Adequate Perishable and Non-Perishable Food 6. CFP Conducted Disaster Drills and Documentation Maintained 7. Money and Clothing Allowance Logs Maintained	Full Compliance (ALL)
IV	**Maintenance of Required Documentation/Service Delivery** (10 Elements) 1. FFA Obtains or Documents Efforts to Obtain County Children's Social Worker's (CSW) Authorization to Implement NSPs 2. CFPs Participated in Development of the NSPs 3. Children Progressing Towards Meeting NSP Goals 4. FFA Social Workers Develop Timely, Comprehensive Initial NSP with Child's Participation 5. FFA Social Workers Develop Timely, Comprehensive Updated NSPs with Child's Participation 6. Therapeutic Services Received 7. Recommended Assessments/Evaluations Implemented 8. County Children's Social Workers Monthly Contacts Documented in Child's Case File 9. FFA Social Workers Develop Timely, Comprehensive Quarterly Reports 10. FFA Social Workers Conduct Required Visits	1. Full Compliance 2. Improvement Needed 3. Improvement Needed 4. Full Compliance 5. Full Compliance 6. Full Compliance 7. Full Compliance 8. Full Compliance 9. Improvement Needed 10. Full Compliance
V	**Education and Workforce Readiness** (5 Elements) 1. Children Enrolled in School Within Three School Days 2. Children Attend School as Required and FFA Facilitates in Meeting Children's Educational Goals 3. Current Children's Report Cards/Progress Reports Maintained 4. Children's Academic Performance and/or Attendance Increased 5. FFA Facilitates Child's Participation in YDS or Equivalent Services and Vocational Programs	1. Full Compliance 2. Full Compliance 3. Full Compliance 4. Improvement Needed 5. Full Compliance

VI	**Health and Medical Needs** (4 Elements) 1. Initial Medical Exams Conducted Timely 2. Follow-Up Medical Exams Conducted Timely 3. Initial Dental Exams Conducted Timely 4. Follow-Up Dental Exams Conducted Timely	Full Compliance (ALL)
VII	**Psychotropic Medication** (2 Elements) 1. Current Court Authorization for Administration of Psychotropic Medication 2. Current Psychiatric Evaluation Review	Full Compliance (ALL)
VIII	**Personal Rights and Social Emotional Well-Being** (10 Elements) 1. Children Informed of Agency's Policies and Procedures 2. Children Feel Safe in the CFP Home 3. CFPs' Efforts to Provide Nutritious Meals and Snacks 4. CFPs Treat Children with Respect and Dignity 5. Children Allowed Private Visits, Calls and to Receive Correspondence 6. Children Free to Attend or Not Attend Religious Services/Activities of Their Choices 7. Children's Chores Reasonable 8. Children Informed About Their Medication and Right to Refuse Medication 9. Children Aware of Right to Refuse or Received Medical, Dental and Psychiatric Care 10. Children Given Opportunities to Participate in Extra-Curricular Activities, Enrichment and Social Activities	Full Compliance (ALL)
IX	**Personal Needs/Survival and Economic Well-Being** (7 Elements) 1. Clothing Allowance Provided in Accordance with FFA Program Statement 2. Ongoing Clothing Inventories of Adequate Quantity and Quality 3. Children's Involvement in Selection of Their Clothing 4. Provision of Sufficient Supply of Clean Towels and Personal Care Items Meeting Ethnic Needs 5. Minimum Weekly Monetary Allowances 6. Management of Allowance/Earnings 7. Encouragement/Assistance with Life Book or Photo Album	Full Compliance (ALL)

X	**Discharged Children** (3 Elements) 1. Completed Discharge Summary 2. Attempts to Stabilize Children's Placement 3. Child Completed High School (if applicable)	1. Full Compliance 2. Full Compliance 3. Not Applicable
XI	**Personnel Records** (9 Elements) 1. Criminal Clearances (DOJ, FBI, CACI) Signed and Submitted Timely 2. Timely, Completed, Signed Criminal Background Statement 3. FFA Social Workers Met Education/Experience Requirements 4. Timely Employee Health Screening/TB Clearances 5. Valid CDL and Auto Insurance 6. FFA Employees Signed Copies of FFA Policies and Procedures 7. FFA Employees Completed All Required Training and Documentation Maintained 8. FFA Social Workers Have Appropriate Caseload Ratio 9. FFA Maintained Written Declarations for Part-Time Contracted FFA Social Workers Caseloads Not Exceed Total of 15 Children	Full Compliance (ALL)

PENNY LANE FOSTER FAMILY AGENCY
CONTRACT COMPLIANCE MONITORING REVIEW
FISCAL YEAR 2013-2014

SCOPE OF REVIEW

The following report is based on a "point in time" monitoring visit. This compliance report addresses findings noted during the November 2013 monitoring review. The purpose of this review was to assess Penny Lane Foster Family Agency's (the FFA's) compliance with the County contract and State regulations and included a review of the FFA's program statement, as well as administrative internal policies and procedures. The monitoring review covered the following 11 areas:

- Licensure/Contract Requirements,
- Certified Foster Homes,
- Facility and Environment,
- Maintenance of Required Documentation and Service Delivery,
- Educational and Workforce Readiness,
- Health and Medical Needs,
- Psychotropic Medication,
- Personal Rights and Social Emotional Well-Being,
- Personal Needs/Survival and Economic Well-Being,
- Discharged Children, and
- Personnel Records.

For purposes of this review, 12 children were selected for the sample. The Out-of-Home Care Management Division (OHCMD) interviewed 12 children. OHCMD reviewed all 12 case files to assess the care and services they received. Additionally, four discharged children's files were reviewed to assess the FFA's compliance with permanency efforts. At the time of the review, no placed children were prescribed psychotropic medication.

OHCMD reviewed four certified foster parent files and five staff files for compliance with Title 22 Regulations and County contract requirements. Interviews were conducted with four certified foster parents to assess the quality of care and supervision provided to children.

CONTRACTUAL COMPLIANCE

OHCMD found the following four areas to be out of compliance.

Licensure/Contract Requirements

- Community Care Licensing (CCL) cited the FFA as a result of deficiencies and findings during the investigation of a CCL complaint. According to a complaint report that was dated July 31, 2013, CCL cited the FFA for a Personal Rights violation when it was determined that the certified foster parent yelled at the foster child for soiling himself. The FFA submitted a Plan of Correction (POC) to CCL, which included retraining of the certified foster parents in the area of Personal Rights and reporting requirements, which was approved by CCL on

July 31, 2013. The matter was not cross reported to the Child Protection Hotline (CPHL) or Out-of-Home Care Investigations Section (OHCIS), as no abuse was suspected.

- According to a CCL complaint report dated October 18, 2013, CCL cited the FFA for a Personal Rights violation. It was determined that the certified foster parent did not allow two of the foster children to swim in the family pool because they were incontinent at times. The FFA submitted a Plan of Correction (POC) to CCL, which included retraining of the certified foster parents in the area of Personal Rights and reporting requirements, which was approved by CCL on November 1, 2013. The matter was not cross reported to the CPHL or OHCIS, as no abuse was suspected.

During the Exit Conference, the FFA representatives stated that Title 22 requirements would be reviewed with certified foster parents and FFA social workers.

Recommendations

The FFA's management shall ensure that:

1. All certified foster homes are in compliance with Title 22 Regulations.

Certified Foster Homes

- The home study for one certified foster parent was not completed prior to certification. During the Exit Conference, one of the FFA's Regional Directors disagreed with the finding but subsequently contacted OHCMD monitor via e-mail stating that the OHCMD monitor was correct. The signature date on the home study was after the certification date.

The FFA Regional Director reported that the home study reviewed was an older version and does not include a line stating the home study's completion date, whereas the newer home studies now indicate a completion date. According to the FFA Regional Director, she will complete training with the FFA Office Managers to ensure that no foster parent is certified unless all signatures have been received.

Recommendation

The FFA's management shall ensure that:

2. All certified foster parents' home studies are completed prior to certification.

Maintenance of Required Documentation/Service Delivery

- For five children, there was no documentation that the certified foster parents participated in the development of the Needs and Services Plans (NSPs).

- The NSP Quarterly Reports for the 12 reviewed children were not comprehensive; as they did not include all of the elements in accordance with the NSP template. Specifically, goals were duplicated and not modified, there was no permanency planning for three of the children and

monthly dates of contact with the Department of Children and Family Services (DCFS) Children's Social Worker (CSW) were missing for one child.

During the course of the compliance review, the OHCMD monitor met with the FFA Executive Director, the FFA Chief Operations Officer and Social Worker Supervisor and went over the problematic NSPs. During the Exit Conference, the FFA's Chief Operations Officer stated that the FFA would provide retraining to the FFA social work staff and that the FFA would continue efforts with their training in order to reach full compliance. The FFA submitted documentation that a NSP in-service had been provided to staff responsible for developing the NSPs on November 4, 2013.

It should be noted that the FFA's representatives did attend the OHCMD's NSP training for providers on January 20, 2012 and the NSP refresher training on August 1, 2013. Some of the NSPs reviewed were developed prior to the training and some subsequent to the January 20, 2012 and August 1, 2013 trainings.

Recommendations

The FFA's management shall ensure that:

3. Certified foster parents are included in the development of the NSPs.

4. NSP Quarterly Reports are comprehensive and include all elements in accordance with the NSP template.

Education and Workforce Readiness

- One child was doing poorly in school. The child had failed several classes.

The child's lack of progress was discussed during the compliance review by OHCMD monitor with the child, the certified foster parent and the FFA representative. The FFA was successful in generating educational services for the child. During the Exit Conference, the FFA's representatives stated that the FFA would continue to work towards providing on-going academic support to the children. On February 3, 2014, the FFA conducted a review of NSP goals and academic supportive services to ensure that children are progressing in a positive manner.

Recommendation

The FFA's management shall ensure that:

5. Children's academic performance increases.

PRIOR YEAR FOLLOW-UP FROM DCFS OHCMD's FOSTER FAMILY AGENCY CONTRACT COMPLIANCE MONITORING REVIEW

The OHCMD's last compliance report dated July 5, 2013, identified 8 recommendations.

Results

Based on our follow-up, the FFA fully implemented 7 of 8 previous recommendations for which they were to ensure that:

- Special Incident Reports are appropriately reported and documented in a timely manner.
- Prior to certification of a foster home, the FFA will submit an inquiry to OHCMD for historical information.
- Placed foster children are supervised by the certified foster parents or substitute caregivers at all times and the FFA staff will ensure that the foster parents are routinely reminded of the supervision policy and will monitor the homes for ongoing compliance.
- All certified foster parents have the required health screenings, to include verification of TB tests, in accordance with Title 22 regulations and that documentation is maintained in the certified foster parent files.
- Vehicle maintenance for all certified foster parents or their designated drivers will be completed annually and documentation will be maintained in the certified foster parent files.
- The FFA staff documents efforts to obtain the CSW's authorization to implement the Needs and Services Plans.
- Children's CSW are contacted monthly by the FFA social workers and contacts are appropriately documented in the children's case files.

One recommendation was not fully implemented:

- All certified foster parent homes remain in full compliance with Title 22 Regulations and documentation is maintained in the certified foster parent files.

The FFA's management shall ensure that:

The outstanding recommendation from the 2012–2013 monitoring report dated July 3, 2013, which is noted in this report as Recommendation 1 is fully implemented. At the Exit Conference, the FFA representatives stated the FFA would work to remain in compliance with all Title 22 Regulations and Contract requirements. To ensure compliance, the FFA would continue to provide the on-going training of the certified foster parents and the FFA social worker staff. OHCMD will visit the FFA in July 2014 to provide the FFA with technical assistance and verify implementation of the recommendations.

MOST RECENT FISCAL REVIEW CONDUCTED BY THE AUDITOR-CONTROLLER (A-C)

A fiscal review of Penny Lane FFA has not been posted by the A-C.

Penny Lane

Foster / Adoption Families

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Ivelise Markovits, MFCC

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DCFS Out of Home Care Management Division
9320 Telstar Ave., Suite 216
El Monte, CA 91731
Greta Walter, Analyst

January 31, 2014

Regarding: Monitoring Review Corrective Action Plan

Dear Greta Walter,

1) Licensing/Contract Requirements Section
   Free of substantiated Community Care Licensing (CCL) complaints.
   a. Penny Lane Centers had two CCL substantiated findings during the 2013 year.
   b. Penny Lane agrees to review Title XXII policies and procedures with all families and Social Workers to prevent any incident reports on safety and physical plant deficiencies.
   c. Training for the Social Workers will take place on 2/24/2014 and training for the Foster Families will occur throughout the month of March, which will focus on Title XXII policies and procedures.
2) Certified Foster Homes Section
   Home studies and safety inspections were conducted prior to initial certification?
   a. All certified families have home studies completed prior to certification. For one foster family the home study was not properly signed prior to certification, however, the home study was approved and completed prior to the actual certification.
   b. On February 7, 2014 Penny Lane Centers reviewed and informed all Office Staff and Home Study Specialists regarding signature requirements of all home studies prior to certification of all families.
3) Maintenance of required documentation and service delivery Section
   All placed children progressing toward meeting the NSP's case goals.
   a. A review of NSP case goals was conducted on February 3, 2014 with all Penny Lane Social Workers.

   The FFA Social Worker completes timely comprehensive, quarterly reports by the 10th business day following the end of each quarter from the date the child was placed.

b. All reports were submitted and properly communicated to the County Social Worker and included signatures to verify timely completion. However, in the contact with the CSW section of the quarterly report, the Penny Lane Social Worker indicated "monthly contact" rather than listing the actual dates of contact. The actual dates of contact were properly listed in the Progress Notes and were available for verification.
c. On February 3, 2014 a review and discussion of proper Quarterly Report writing was conducted with all Penny Lane Social Workers to ensure that actual dates are indicated, rather than generic terms such as "monthly contact".

4) Education and Workforce Readiness Section
Based on the services provided by the FFA, the child's academic performance and/or attendance increased.
   a. Penny Lane Centers implemented Wraparound services and was looking for a private tutor to assist the 14 year old 8th grader with his school work and deteriorating grades. Minor was exhibiting a lack of interest and continuously refused to complete his school work. At this time, minor continues to receive services from a Wraparound team and a tutor, both in the home and at Penny Lane's Resource Center. The NSP continues to reflect a goal of increased support and service to assist minor with his school progress.
   b. On February 3, 2014 Penny Lane Centers conducted a review of NSP goals and academic supportive services to ensure that children are progressing in a positive manner.

Penny Lane Centers is thankful for the support and continued collaborative efforts with the Out of Home Care Division. We strive to provide top quality care by ensuring safety, wellbeing and permanency for all children at all times. All certified foster families receive close supervision and extensive on-going training by highly skilled and well trained Social Workers. Penny Lane believes in providing these supportive services in an open, honesty and collaborative manner.

Please contact Monica Smith, Regional Director and Quality Assurance Manager at (818) 894-3384 ext. 1291 with any questions or concerns.

Sincerely,

Monica Smith, M.A.
Regional Director
Penny Lane Centers