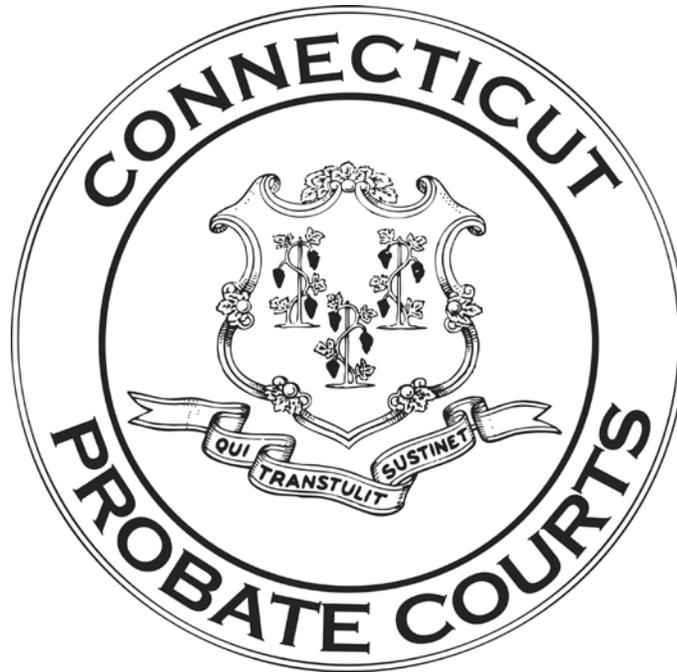


# **PROBATE COURT USER GUIDE**

## **GUARDIANS OF MINORS**



PUBLISHED BY  
OFFICE OF THE  
PROBATE COURT ADMINISTRATOR  
STATE OF CONNECTICUT

COMPLIMENTS OF YOUR LOCAL PROBATE COURT

## INTRODUCTION

The Probate Courts become involved in the lives of children when their parents are unable to appropriately care for them. Guardianship also becomes necessary when a minor acquires assets. The courts, and the guardians they appoint, are entrusted with the responsibility of protecting the interests and assets of the minors.

This booklet is intended to answer some of the questions you may have regarding the procedures, roles and responsibilities of the Probate Court and the guardian of a minor whom the court appoints. It should be considered only as a guide on the guardianship process and not as a substitute for competent professional advice.

Forms for guardianships and other probate matters are available online at [ctprobate.gov](http://ctprobate.gov). Click on "Forms." Forms are also available at the Probate Courts.

## **What Is Guardianship?**

In Connecticut, a person under the age of 18 is considered to be a minor. A guardian is a person who has the legal right and duty to take care of a minor or a minor's assets.

There are two types of guardianship for minors: guardianship of the person of a minor and guardianship of the estate of a minor. A guardian of the person has the responsibility to care for the minor. A guardian of the estate manages the assets of the minor. The following is a description of the duties and responsibilities of guardians. Part I covers guardianship of the person. Part II summarizes the laws governing removal of a parent as guardian. Part III covers guardianship of the estate.

### **Part I. Guardian of the Person of a Minor**

The guardian of the person of a minor is an adult authorized by law to take physical control of, and provide care for, the minor. That broad authority includes making medical and personal decisions concerning the welfare of the minor.

By law, the birth parents of a child born in wedlock are automatically the guardians of the person. They are "joint guardians," which means that each has equal powers, rights and responsibilities with respect to the minor, unless altered by a court.

The father and mother of a minor born out of wedlock are also joint guardians, provided the father's paternity has been determined under the laws of Connecticut. If paternity has not been established, the mother is the sole guardian of the person.

If a minor's parents are deceased, or if a court has removed the parents as guardians, the Probate Court for the district where the minor resides will, on the petition of an interested party, appoint a guardian of the person. This type of guardian serves until the minor reaches age eighteen and does not share decision-making authority with the parents.

Whenever the court appoints a guardian, it must take into consideration the following factors:

- (1) The ability of the prospective guardian to meet the physical, emotional, moral and educational needs of the minor on a continuing day-to-day basis.
- (2) The minor's wishes if he or she is over the age of 12 or is of sufficient maturity to form an intelligent preference.
- (3) The existence or nonexistence of an established relationship between the minor and the prospective guardian.
- (4) The best interests of the minor.

Additional subcategories of guardianship are explained on the following pages.

### *Temporary Guardian*

If a parent of a minor is unable to care for the minor for a period of time due to illness, absence from the area or for some other reason, the parent may file a petition for appointment of a temporary guardian of the person in the Probate Court for the district in which the minor resides.

The temporary guardian serves **with**, but does not replace, the parent as natural guardian, so that either the parent or the temporary guardian may make important decisions affecting the minor. The appointment expires in 12 months, but the parent may file a new petition for temporary guardianship when it expires. The parent has the right to terminate the temporary guardianship at any time.

### *Standby Guardian*

A parent may also designate a standby guardian of the person. The standby guardianship will take effect upon the occurrence of a specified contingency, including, but not limited to, serious illness or death of the parent. The designation must be in writing, signed by the parent and witnessed by at least two witnesses. The standby guardianship may be revoked at any time. The revocation must be made in writing, and the standby guardian must be notified.

In order for the guardianship to take effect, the standby guardian must complete an affidavit indicating that the contingency upon which the guardianship is based has occurred. The affidavit must be signed, witnessed and sworn to under oath. The standby guardianship will cease when the specified contingency no longer exists or at the end of one year, whichever is sooner. If the parent dies while the standby guardianship is in effect, the guardianship will cease 90 days after death. The standby guardian may petition the Probate Court to be appointed as guardian on an ongoing basis.

Like the temporary guardian, the standby guardian does not replace the parent. The legal rights and duties of the standby guardian become effective only when the parent is no longer physically or mentally able to carry out parental responsibilities as parent.

### *Co-Guardian*

A parent who is the sole guardian of the person of a minor may petition the Probate Court for the district in which the minor resides for the appointment of another person to serve as co-guardian. Upon receipt of a petition for the appointment of a co-guardian, the court will, in most cases, order DCF to complete an investigation and report. A hearing will be held within 30 days of receipt of the DCF report.

When the appointment takes effect, the co-guardian has the obligation of care and control and the authority to make major decisions affecting the minor's welfare. These rights and obligations are to be shared with the parent, and they may be exercised

independently by the parent or the co-guardian. In the event of a dispute between the parent and the co-guardian, either may file a petition with the appointing court for the court to resolve the dispute.

The appointment of the co-guardian may take effect immediately after the hearing or upon the occurrence of a specified contingency such as serious illness or death of the parent. When the contingency occurs, the prospective co-guardian must notify the court by written affidavit. The court may hold a hearing to verify the occurrence of the contingency. Upon verification, the appointment will take effect and will continue until further order of the court.

Each year, a guardian of the person is required to submit an annual report on the condition of the minor to the court.

Guardianship terminates when the minor turns 18.

## **Part II. Removal of Parent or Guardian**

One or both parents of a minor may be removed as guardian of the person by a Probate Court if the court finds certain conditions to be present or if the parent consents to be removed as guardian. Any adult relative of the minor, an attorney representing the minor or an adult with actual physical custody of the minor may file a petition for the removal of one or both parents as guardian. The petition is filed in the Probate Court for the district where the minor's permanent home is located, where the minor currently resides or where the minor is currently located.

Upon receipt of a petition for removal of a parent, the court will set a time and place for a hearing on the petition and notify all interested parties. Notice of the hearing will be sent to both parents of the minor and the minor, if he or she is 12 years of age or over. If the whereabouts of a parent are unknown, the court may publish notice in a newspaper.

Any parent who is the subject of a removal petition has the right to be represented by an attorney and may request the court to appoint an attorney if he or she cannot obtain or pay for one. The court may also appoint an attorney to represent the minor.

When a petition for removal of a guardian has been filed, the court will, in most cases, order DCF to complete an investigation and report. The DCF investigation and report will include facts that may be relevant to the court's determination of whether the action sought will be in the minor's best interests.

The court may order the examination of the minor by a physician, psychiatrist or licensed clinical psychologist. The court may also order the examination of a parent whose ability to care for the minor is in question. The cost of any examination ordered by the court on its own motion is paid by the petitioner; the cost of any examination requested by another party is paid by the party requesting the examination. If the party

responsible for payment is indigent, the cost of the examination is paid from the Probate Court Administration Fund.

After a hearing, the court may remove a parent as guardian if it finds by clear and convincing evidence that **one or more** of the following conditions are present:

- (1) The parent consents to removal as guardian.
- (2) The minor has been abandoned by the parent.
- (3) The minor has been denied the care, guidance or control necessary for his or her physical, educational, moral or emotional well-being as a result of acts of parental commission or omission.
- (4) The minor has had physical injury or injuries other than by accidental means, **or** has injuries that are at variance with the history given of them **or** is in a condition that is the result of maltreatment.
- (5) The minor has been found to be neglected or uncared for, as defined in C.G.S. section 46b-120.

If one parent is removed, the court will confirm the other parent as the minor's sole guardian. If both parents are removed, the court will appoint another person to serve as guardian of the person.

Due to the serious consequences resulting from filing a petition for removal of a parent or other person as guardian and the complex nature of the legal grounds for the removal, anyone considering such action should seek legal advice prior to filing the petition. There are legal penalties for willfully filing a false petition, conspiring with another to file a false petition or giving false testimony in a removal proceeding.

#### *Temporary Custody or Immediate Temporary Custody of the Minor Pending Removal of Guardian*

Temporary custody concerns the physical custody of the minor until the court renders a decision on a petition to remove the parent. After holding a hearing, the court may award temporary custody of the minor to an appropriate custodian if the court finds that one or more of the grounds for removal are present and that the health or welfare of the minor is at risk.

Under certain stringent conditions, the court may order **immediate** temporary custody **without a hearing** if the court finds that:

- (1) the minor was not taken or kept from the custodial parents, **AND**

- (2) the minor will be removed from the Probate Court district before a hearing, **OR** the health and welfare of the minor is at risk.

Generally, the court may not grant **immediate temporary custody** of a minor who is in the physical custody of a parent. However, it may do so if the minor is hospitalized as a result of a serious physical illness or injury, and a certificate signed by two Connecticut physicians is filed with the court stating that:

- (1) the minor is in need of immediate medical or surgical treatment, the delay of which would be life-threatening;
- (2) the parent refuses or is unable to consent to such treatment; and
- (3) determination of the need for temporary custody cannot await a formal hearing.

If the court orders immediate temporary custody without prior notice to the parents, a hearing must be held within five business days after the date of the order to determine whether the temporary custody should continue.

The rights and duties of the temporary custodian are: the obligation of care and control, the authority to make decisions regarding school counseling or routine and emergency medical, surgical, psychological, or psychiatric treatment and any other rights and duties that the Probate Court may approve.

An order for temporary custody is not permanent, and the order will be in effect only until a determination can be made on the petition for removal of the parent as guardian.

#### *Child Support Orders in Removal and Custody Matters*

If a minor is the subject of a pre-existing child support order issued by the Superior Court, certain procedures must be followed when the court removes a parent as guardian or transfers custody or guardianship of the minor. The Support Enforcement Services Unit at the Department of Social Services must be notified when:

- (1) The court grants guardianship or custody to a new guardian, **OR**
- (2) The custody of the minor is returned to the parent ordered to pay child support, in which case the child support order will be suspended.

The telephone number of the Support Enforcement Unit is (800) 228-5437.

#### *Visitation Rights of Parent Removed as Guardian*

A Probate Court may grant visitation to a parent or other relative or to a person who has been removed as guardian of a minor. The court will be guided by the best interest of

the minor, giving consideration to the minor's wishes if he or she is of sufficient age to form an intelligent opinion.

### *Reinstatement of Guardianship Rights*

Any parent who has been removed as guardian may petition the Probate Court that removed the parent for reinstatement. If the court determines that the factors that resulted in the removal of the parent have been resolved satisfactorily, the court may reinstate the parent as guardian.

### *Appointment of Permanent Guardian*

Following the removal of parents as guardians in the manner discussed above, the court may appoint a permanent guardian if certain additional steps are followed. A permanent guardianship is intended to last until the minor reaches majority at age 18 and to provide permanency for the minor without terminating the parental rights of the parents.

In addition to the steps required for removal of the parents as guardians, the court will appoint a permanent guardian if it finds by clear and convincing evidence that:

- (1) One of the grounds for termination of parental rights exists, or the parents consent.
- (2) Adoption of the minor is not possible or appropriate.
- (3) If the minor is age 12 or older, the minor consents.
- (4) If the minor is under age 12, the proposed permanent guardian is a relative or is already permanent guardian of a sibling of the minor.
- (5) The minor has resided with the proposed permanent guardian for at least one year.
- (6) The proposed permanent guardian is suitable and is committed to remaining as permanent guardian until the minor reaches age 18.

After the appointment of a permanent guardian, the removed parents may not seek reinstatement as guardians, nor may they petition the court for removal of the permanent guardian.

## **Special Immigrant Juvenile Status**

At any time during or after a case involving the custody or guardianship of a minor, a

party may file a petition requesting that the Probate Court make findings in connection with a petition to the United States Citizenship and Immigration Services (USCIS) for the designation of a minor child as having special immigrant juvenile status. The minor child may be eligible to remain in the United States if USCIS grants this status.

A petitioner may use the form *Petition/Special Immigrant Juvenile Findings under 8 U.S.C. 1101, PC-609*, to request that the court make these findings.

### **Part III. Appointment of Guardian of the Estate of a Minor**

A guardian of the estate of a minor has legal control over the financial affairs of the minor. A parent may, without appointment by the court, manage the property of the minor if the assets are valued at \$10,000 or less. However, if the minor's assets exceed \$10,000 in value, a guardian of the estate of the minor must be appointed by the Probate Court for the district in which the minor resides.

Although the Probate Court may appoint any suitable person as the guardian of the estate, the court will ordinarily look first to the parents to serve as guardian. If the parents are unwilling or unqualified for the appointment, the Probate Court will appoint another person as guardian. A minor who is 12 or older may indicate his or her preference regarding who will serve as guardian.

The court may require the guardian of the estate to furnish a probate bond for the protection of the minor's property. The amount of the probate bond is usually equal to the value of the minor's assets. When a bond is required, the appointment of a guardian of the estate is not effective until the probate bond is filed with the court. The judge may waive the requirement of a bond if the minor's assets are less than \$20,000.

The bond may also be waived if the assets are held in a restricted account. This requires a written agreement on a form available from the court, under which a bank agrees not to release any funds to the guardian without prior court approval. (See *Probate Court Rules of Procedure, section 35.7*)

#### *Duties of the Guardian of the Estate of a Minor*

The guardian of the estate of a minor has control over all of the minor's assets, whether acquired before or after the guardian's appointment, except for property managed under the Uniform Transfers to Minors Act or under a trust. The minor's property may only be used for the benefit of the minor. It may not be used to pay the expenses that a parent is legally responsible to provide. The minor's assets must be held in separate accounts from the guardian's personal assets. Investments of a minor's property by a guardian are strictly limited by law.

The guardian of the estate should file copies of the *Fiduciary's Probate Certificate, PC-450*, with financial institutions at which the minor's assets are held. The certificate provides notice that the minor's assets are under the jurisdiction of the Probate Court

and that the guardian of the estate has authority to manage the assets. If the minor owns real estate, notice of the guardianship should be recorded on the land records.

Within two months of appointment, the guardian must file an inventory with the court listing all of the minor's assets at fair market value as of the date of the appointment. The guardian must provide copies of the inventory to each party and attorney of record.

If the guardian of the estate wishes to sell or mortgage any real estate belonging to the minor, the guardian must file a petition in the Probate Court. The court will hold a hearing after notifying interested parties. The court may authorize the sale if it determines that it will be in the best interests of the minor.

The guardian must file periodic financial reports or accounts with the Probate Court to report on the guardian's management of the minor's assets. Upon receipt of the periodic financial report or account, the Probate Court will set a hearing or notify interested parties of the right to a hearing upon request. A periodic financial report or account *must* be filed for the first year following appointment and at least once in every three-year period thereafter. The Probate Court may order more frequent financial reports or accounts. Whenever the guardian files a financial report or account, copies must be provided to each party and attorney of record.

The court may remove a guardian of the estate who becomes incapable, neglects to perform the required duties or mishandles the minor's assets. The court will then appoint another guardian of the estate.

The guardianship of the estate will terminate when the minor reaches age 18. The guardian must file a final financial report or account upon termination of the guardianship and transfer all remaining assets to the minor.

### *Testamentary Guardian*

A parent may, by will, designate a person to serve as guardian of the person and/or estate of the minor after the death of both parents. Following the death of both parents, the designated person must file a petition with the Probate Court seeking confirmation as guardian.

## **Probate Appeals**

Any person aggrieved by an order of the Probate Court may appeal to the Superior Court. In general, appeals must be taken within 30 days from the date of the order, denial or decree.

## **Conclusion**

Guardianship has been described as a trust of the highest character. In view of these serious responsibilities, a person acting as guardian for a minor should always seek competent professional advice when making decisions on behalf of a minor.

## PROBATE COURT FORMS

### Temporary Custody and Guardianship

Fiduciary's Periodic or Final Account/ Conservator/Guardian .....	PC-441
Financial Report/Conservator/Guardian .....	PC-442
Schedule A: Proposed Distribution/Final Financial Report Cons./Guardian.....	PC-442A
Petition/Removal of Guardian.....	PC-500
Petition/Immediate Temporary Custody.....	PC-501
Request for Review/Modification of Visitation .....	PC-5012
Petition/Temporary Custody .....	PC-502
Application/Appointment of Guardian of the Estate.....	PC-503
Petition/Appointment of Guardian of the Estate/ Compromise of Claim .....	PC-503A
Application/Appointment of Temporary Guardian .....	PC-504
Petition/Appointment of Permanent Guardian.....	PC-505
Confidential Information/Petition/Appointment of Permanent Guardian .....	PC-505C
Petition/Reinstatement of Parent as Guardian of Minor ...	PC-506
Motion to Transfer File/Guardianship of Person/ Estate of a Minor .....	PC-507
Petition/Appointment of Guardian where Parents/ Legal Guardians are Deceased .....	PC-508
Petition/Appointment of Co-guardian of the Person of a Minor Child .....	PC-509
Custodian's Affidavit/Immediate Temporary Custody .....	PC-510
Guardian's Report/Guardianship of the Person of a Minor .....	PC-570
Agreement of Fiduciary(ies)/Guardianship of a Minor's Estate.....	PC-571
Receipt and Release of Guardian of Estate.....	PC-580
Application/Emancipation of Minor .....	PC-905

These forms are available at the Probate Court or on the Probate Court website: [ctprobate.gov](http://ctprobate.gov). Forms for standby guardianship may be obtained from the Probate Court.