The National CASA Association
Mission Statement

The National CASA Association, together with its state and local members, supports and promotes court-appointed volunteer advocacy for abused and neglected children so that they can thrive in safe, permanent homes.
Acknowledgements

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Introduction

Let us put our minds together and see what a difference we can make for our children.

Chief Sitting Bull, Oglala Lakota

Why Is There a Special Need to Support American Indian/Alaska Native Children in Foster Care?

Many studies show that although child abuse and neglect are pervasive problems in American Indian communities, Indian children are dramatically overrepresented in the state child welfare system. These children face a foster care rate double their representation in the general community (2% vs. 1%). This problem is further complicated because of a wide range of complex issues—economic distress, complicated jurisdictional issues and limited resources which result in Native tribes often experiencing great difficulties in handling, investigating and prosecuting cases of child abuse and neglect in tribal communities.

The availability of CASA volunteers in American Indian communities can be low for many reasons. For instance, extremely high unemployment rates in reservation communities often cause volunteers to leave tribal programs to seek paid work. Another common problem is the vast distances that need to be traveled by CASA volunteers.

The National CASA Association recognizes the great need for advocacy in Tribal Courts as well as in mainstream courts. The association provides training, technical assistance and grant funding to support programs serving this population. Tribal Court CASA programs are an important part of the solution, training community members to be vocal and effective advocates for child victims of abuse and neglect in state and tribal courts. Additionally, because many tribal children live among the general population, National CASA’s training curriculum for all volunteers covers American Indian issues, including the requirements of the Indian Child Welfare Act.

Note: In this manual, the term American Indian/Alaska Native will be alternated with tribal, Indian and Native to add variety and save space.

Why Do Tribal Court CASA Programs in Particular Need Our Help?

The National CASA Association has long recognized the need to strongly support Tribal Court CASA programs. This support has come in many forms including funding, training and technical assistance. The National CASA Association has developed a number of resources for local and state CASA programs, including program development tools. This manual draws general CASA guidance from these tools as well as from the experience of Tribal Court CASA programs that have been functioning under the leadership of a board of directors or with the support of an advisory committee.
The National CASA Association recognizes that Tribal Court CASA boards and advisory committees may be structured differently due to their unique role within the tribe and the community. Therefore, this manual presents information about the primary functions of these bodies rather than prescribing a specific method for all tribes.

Where Else Can Support for this Topic Be Found?
Most of the guides, manuals and documents developed by National CASA can be found at casanet.org. If you are uncertain of where a certain piece of information might be, try looking at Wondering Where to Find It? (casanet.org/program-management/top_10_program_resource.htm), which highlights the top 10 program resource requests. The document includes the most frequently asked questions regarding CASA program development and management.

Another excellent resource is the National CASA Association Standards for Local CASA/GAL Programs. This document provides the guidance and direction necessary to develop and maintain a high-quality CASA program. Utilizing this document in your daily work will help ensure quality.

How Are Tribal Court CASA Programs Usually Structured and Administered?
Tribal Court CASA programs are usually structured one of three ways:

- Tribal Court CASA programs operated under a tribal government serving children in Tribal Court
- Tribal Court CASA programs operated under a tribally chartered or approved nonprofit organization
- Local state court CASA/GAL programs that provide services to children in Tribal Court as well as state court, operating with memoranda of understanding with both courts

Initially, you may have had an “organizing committee” that held meetings and served as the planners and visionaries for starting a CASA program. These individuals may or may not be on the board or advisory committee, but they have made decisions about the appropriate structure within the tribe for the Tribal Court CASA program and the type of governing body the program should have. (For more information, see Chapter 3, Tribal Court CASA: A Guide to Program Development, National CASA Association, 2000.)

Once the need for a Tribal Court CASA program has been identified, the committee of leaders organizing the program will need the support of the tribal judge and Tribal Council. When a determination has been made that the community is ready to take action, the leaders who will guide the CASA program will be developed and trained. Outlined in this manual are the core roles, responsibilities and relationships that will assist a Tribal Court CASA board, advisory committee and staff in maintaining this vital program whose goal is to provide an advocate for every tribal child who is involved in abuse and neglect court proceedings. It will be important for each member of the board of directors or advisory committee to receive training about CASA as well as their specific roles and responsibilities (based on the program’s structure) in order for the Tribal Court CASA program to grow and develop into a sustainable organization.
This manual provides information essential for all board and advisory committee members in fulfilling their responsibilities knowledgeably, in good faith and with reasonable care. Because of basic differences among types of CASA programs, no single reference source can detail the procedures and practices appropriate for every situation. However, this text provides useful guidelines that can substantially assist Tribal Court CASA program board and advisory committee members in functioning more effectively.

**What Is the Difference Between a Board of Directors and an Advisory Committee?**

A board of directors is a governing body with authority and responsibility defined by law and by an organization’s charter documents. Nonprofit and larger for-profit organizations usually have a board of directors. A board of directors has policymaking and fundraising responsibility. A more in-depth discussion of these roles can be found in Section 1—Governance: The Business of the Board and Section 2—Responsibilities and Functions of the Board. Appendix A provides a Sample Board Member Job Description.

An advisory committee does not govern. Rather, as the name implies, it advises. While the advisory committee does not have the same legal authority and responsibility as a board of directors, the advisory committee may have a role in recommending and promoting policy; it may also be allowed to raise funds for the CASA program. The exact role will depend on the structure of the Tribal Court CASA program and its relationship to the tribal government. More information on these opportunities can be found in Section 4—Roles of Board, Advisory Committee and Program Director. Appendix B provides a Sample Advisory Committee Member Job Description.

As it comes into being, a Tribal Court CASA program must examine its situation, its needs and its mission to determine what type of governing structure it will have. Whether a program has a board of directors or an advisory committee will depend on the structure of the organization and whether there is another governing body already in place with authority and responsibility (such as the tribal government). If the program is under the governance of the tribe, tribal policies regarding establishing committees will need to be examined. Some tribes require Tribal Council appointment of standing committees, and some allow specialized advisory committees that do not have responsibility or authority over certain aspects of program direction, such as fiscal matters or hiring and firing of personnel.

If the Tribal Court CASA program is an independent nonprofit organization with tribal endorsement, a fully empowered board of directors should be in place. If the program is under another nonprofit or a county or state program, with specific duties to the Tribal Court, the program should have a separate advisory committee representative of the children and community served by the Tribal Court. The advisory committee in this case should also have at least one member who is also a member of the governing organization’s board of directors. A number of Tribal Court CASA programs in Oklahoma and South Dakota are operated by county programs that cross-train advocates in state and Tribal Court. (See the chart on administrative models in Section 1—Governance: The Business of the Board.)
In this guide, the terms *board of directors* and *advisory committee* will be used with these power- and role and responsibility-related distinctions in mind.
Section 1

Governance: The Business of the Board

American Indians and Alaska Natives practiced self-governance long before the Europeans came to this continent. Managing community standards such as the care and rearing of children is consistent with most tribal community values, beliefs and governing practices. Members of a CASA board of directors are charged with the governance of the Tribal Court CASA program. However members of an advisory committee have a governing body over them that has this authority, and they are delegated to advise the CASA program as well as the governing body that oversees the CASA program.

How Is Governing Authority Established?

Board of Directors Governing Authority
When a board is formalized or established (incorporated), the ruling body assigns the function of organizational governance to a board of directors. Authority to govern an organization may be granted by a variety of sources, from organizational members and supporters to elected or appointed state officials. A governing board is expected to represent the public trust by ensuring that the organization carries out the purposes for which it was established in a responsible and accountable fashion. The board delegates authority to the staff to manage the organization, but it cannot delegate its responsibility.

The articles of incorporation or constitution and bylaws of an organization describe how its board is organized. This governing tool establishes the board size and to some extent structure as well as meeting schedule, board selection criteria and other governance matters. No matter how a board is structured and how it chooses to operate, the board of directors is where the proverbial “buck” stops.

Tribal Court CASA programs may have a different type of representation than non-tribal boards. For example, the Tribal Court CASA program may decide to include representatives of the Tribal Council on their nonprofit board of directors to facilitate partnerships with the tribe. They may also include cultural leaders or elders to assist them in being accountable to the needs of the community and their cultural practices.

Advisory Committee Authority
In special cases, the advisory committee is considered to have limited authority, while it remains responsible to a “ruling body.” Advisory committee authority to oversee a Tribal Court CASA program can be granted by the ruling body (such as a Tribal Council or nonprofit umbrella
organization). This can be considered the assignment of program governance as opposed to organizational governance. Ultimate authority and liability for the Tribal Court CASA program continues to rest with the governing body. For example, the tribal government may restrict the authority of the advisory committee and require that recommendations be brought back to the council for action. Or an umbrella organization may assign authority and responsibility to the advisory committee to act according to the bylaws and policies of the parent organization, which has a board of directors. Finally, if the Tribal Court CASA program is a component of a state or county CASA program, it may have a specific tribal advisory committee.

When an advisory committee has limited authority for a Tribal Court CASA program, there are usually non-CASA-related policies and procedures put in place by the ruling body that apply to CASA program staff as well as to the structure and practices of the committee. In such cases, it may be necessary to identify additional policies and procedures to ensure that the Tribal Court CASA program meets National CASA standards and to guide the actions of the advisory committee.

The advisory committee purpose and responsibilities should be spelled out in a written statement that includes (1) the purpose and activities of the group; (2) duration of appointment; (3) criteria for member selection; (4) to whom the group reports; (5) specific responsibilities and expectations; (6) relationship to the governing board or “ruling body”; and (7) relationship to the staff.

**Models of Tribal Court CASA Program Governance**

There are three primary models for Tribal Court CASA program structure, and each of these has a different relationship to a governing body. These are shared governance, umbrella program and independent nonprofit.

1. **Shared Governance**

In some organizations, the board must operate within parameters established by other bodies. For many boards functioning as subsidiaries of a larger entity, certain decisions may require the prior approval of the parent organization or must conform to a policy framework established by this organization. For Tribal Court CASA programs, this framework is generally that designated by the Tribal Council by ordinance, resolution or other action that authorizes the establishment of the CASA program and its board of directors or advisory committee. This structural arrangement is sometimes referred to as “shared governance.” Examples of shared governance for CASA programs may be:

- Tribal Court CASA program as a department under the tribe
- Tribal Court CASA program supervised by the Tribal Court with an advisory committee delegated by the tribe
- Tribal Court CASA program as a nonprofit organization with a representative from the Tribal Council sitting on an independent board of directors
- Tribal Court CASA program under a state or county CASA program with a mixed tribal and non-tribal advisory committee
- Tribal component under a state CASA program with a separate tribal advisory committee
Some of the benefits of collaboration among the tribe, CASA program and umbrella organization may include the use of existing office space and equipment as well as availability of bookkeeping, accounting, telephone, clerical and grantwriting support. Administrative costs may be reduced because there is another source of funds for general administrative costs, such as tribal revenues. Furthermore, being able to use the tribal name and reputation may lead to additional access to funding sources, such as federal grants. Other resources available through the tribal structure may include program and policy development expertise. On the other hand, Tribal Court CASA programs operating under the tribal structure may experience challenges in terms of the staffing, size and direction of the program as it develops.

2. Umbrella Programs

There are some CASA programs that are developed under the “umbrella” of an existing nonprofit organization. This may be a child abuse prevention council, an agency dealing with domestic violence or another family services organization. This structure is very similar to the one described above. It is important to note that in either of these arrangements, there must be a clearly defined written agreement between the sponsoring tribe or nonprofit organization and the CASA program. See Appendix M—Sample Memorandum of Agreement Between Tribe and CASA Program.

3. Independent Nonprofit

A Tribal Court CASA program operating as an independent nonprofit corporation is a stand-alone organization solely responsible for all aspects of the program. This model allows the organization to speak for itself, represent itself, have no higher-level board or council to be accountable to and create its own image within the community. Tribal Court CASA programs that have nonprofit status can still make agreements with the tribe to receive pass-through funds to help support the program, but they are not under the formal governance of the tribe.
The following chart illustrates the three administrative models of Tribal Court CASA programs, the most probable governing or advisory structure and the benefits and challenges of each model. (This chart is adapted from page 41 of *Tribal Court CASA: A Guide to Program Development*, National CASA Association, 2000.)

### Administrative Models of Tribal Court CASA Programs

<table>
<thead>
<tr>
<th>Organization Structure</th>
<th>Benefits</th>
<th>Challenges</th>
</tr>
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<tbody>
<tr>
<td>Governance Under the Tribe (with program advisory committee)</td>
<td>▪ Able to serve Indian children in state and Tribal Court</td>
<td>▪ Potential Tribal Council instability or turnover</td>
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<td></td>
<td>▪ Support of other programs with resources</td>
<td>▪ Power taken away from committees</td>
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<tr>
<td></td>
<td>▪ Assistance with fiscal operations</td>
<td>▪ Potential confusion about who is in control</td>
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<tr>
<td></td>
<td>▪ Financial support</td>
<td>▪ Lack of active board members</td>
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<td></td>
<td>▪ In-kind services</td>
<td>▪ Tribal politics</td>
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<td></td>
<td>▪ Staff time off for traditional purposes</td>
<td></td>
</tr>
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<td></td>
<td>▪ Tribal resolutions providing assistance with volunteers</td>
<td></td>
</tr>
<tr>
<td>Under the Umbrella of Another Organization (with program advisory committee or subcommittee of the parent organization’s board of directors)</td>
<td>▪ Able to serve Indian children in state and Tribal Court</td>
<td>▪ Only a small number of board members may be involved</td>
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<tr>
<td></td>
<td>▪ Support of other programs with resources</td>
<td>▪ Not always included in tribal budget</td>
</tr>
<tr>
<td></td>
<td>▪ Assistance with fiscal operations</td>
<td>▪ Possibility of fragmented reporting</td>
</tr>
<tr>
<td></td>
<td>▪ Financial support</td>
<td>▪ More liability/insurance issues</td>
</tr>
<tr>
<td></td>
<td>▪ In-kind services</td>
<td>▪ Potential confusion about who is in control</td>
</tr>
<tr>
<td></td>
<td>▪ De-politicizes the program (avoids negative impacts of tribal administration change)</td>
<td></td>
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<tr>
<td></td>
<td>▪ Continuity of program due to board of directors or advisory committee</td>
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</tr>
<tr>
<td><strong>Organization Structure</strong></td>
<td><strong>Benefits</strong></td>
<td><strong>Challenges</strong></td>
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| Independent Nonprofit Organization—501(c)3 *(with board of directors)* | *Able to serve Indian children in state and Tribal Court*  
*Not involved in tribal politics*  
*Potential for larger pool of volunteers*  
*Potential for wider source of funding*  
*Total control of policies and procedures*  
*Independent; no levels of bureaucracy above program*  
*Able to bridge the gap between tribal and state programs and Tribal Court* | *Administrative costs higher*  
*Not always included in tribal budget*  
*Must continually work at maintaining relationships and being part of the tribal community* |
I have seen that in any great undertaking it is not enough for a man to depend simply upon himself.

Isna La-wica (Lone Man), Teton Sioux
Late 19th century

The critical task of the Tribal Court CASA board of directors is to provide leadership, guidance and insight for the development of the CASA program. There are seven major functions associated with the responsibilities of members of boards of directors. These are (1) to develop a mission and purpose; (2) to ensure that legal and ethical duties are fulfilled; (3) to hire and support the CASA program director and review performance; (4) to make policy; (5) to carry out organizational planning; (6) to develop funding resources; and (7) to ensure organizational continuity. This section includes a discussion of the roles and responsibilities of the board as well as more about these seven major functions. Additional resources can be found in Section 4—Roles of Board, Advisory Committee and Program Director and Section 6—Leadership.

Responsibilities of the Board of Directors

One role of a board is to make policies and policy decisions that will aid the organization in reaching its goals and fulfilling its purpose. A policy is a governing principle that sets the course of action to bring the organization closer to realizing a particular goal; a policy decision is a step taken by the board to empower the CASA program to reach its goals. A strong indicator of an effective board is its ability to provide leadership and guidance by supplying program staff with a framework for decision-making. For a board to achieve and maintain effectiveness, its members must first understand and appreciate their role and then follow through by meeting their responsibilities and carrying out their functions.

Leadership, policymaking and fundraising are, perhaps, the most important responsibilities facing any Tribal Court CASA board. These responsibilities are woven throughout the “functions” discussed below.
Functions of the Board of Directors

While policymaking and leadership are the board’s primary responsibilities, its functions in meeting these responsibilities are as follows:

1. Mission and Purpose

The board should set the overall mission of the program and keep it clearly in focus by reviewing it periodically to determine its accuracy and validity as well as to ensure that the activities of the organization are in harmony with the mission. A good mission statement serves as the guide to the board and program staff in the work to be done. The mission statement describes:

- *Who is served.* Who will the CASA program serve? Just tribal members or any American Indian/Alaska Native child within tribal jurisdiction?
- *How they will be served.* By providing various programs and services to benefit the community.

Following are two sample mission statements:

- The Confederated Salish and Kootenai Tribal Court Appointed Special Advocates Program (CASA) strives to represent and protect the interests of children who are involved in the CSKT Tribal Court system because of abuse, neglect or dependency.

- The general mission of the Okmulgee County/Creek Nation CASA Program is to provide trained community volunteers who advocate for the best interests of children who come into the court system as a result of abuse and neglect.

2. Legal and Ethical Duties

The specific legal responsibilities of the board include adhering to tribal and federal law (and any applicable state laws) and reporting requirements, maintaining tax exempt status if the CASA program is a nonprofit, safeguarding organizational documents, keeping minutes and observing financial practices that adhere to established standards, all within accepted ethical practice. See Section 7—Politics, Confidentiality, Conflict and Liability and Appendix H—Sample Board or Advisory Committee Member Code of Ethics for more information.

3. Program Director Hiring, Support and Review

This responsibility has a great impact on the organization’s development and effectiveness. It is normally within the board’s authority to hire a director. The board should carry out this process as follows: identify expectations; determine the characteristics, skills and style of program staff needed for program development; clarify its own functions as distinct from those of the staff; and prepare a comprehensive job description before beginning the search. Once the director is hired, the board is responsible for ongoing support and advice. This is discussed more in depth in Section 5—Board Member/Program Director Relations.
4. Policymaking

As mentioned above, policymaking is a foundation of governance. It is important to develop and promote policy that will support the mission of the Tribal Court CASA program as well as its sustainability.

A policy sets the framework for all kinds of decision-making other than determining the organization’s mission. The greatest policymaking challenges are:

1. Establishing policies for achieving the goal and purposes of the organization
2. Establishing policies to control the funds and assets obtained toward achieving organizational goals

Many board members have difficulty with policymaking, particularly when it is confused with financial decisions that have to be made to implement policy. At times, the line between policy formulation and administrative implementation may become unclear. As a practical matter, policy and administration can never be completely divorced from each other. Yet the two must be clearly distinguished if board members and program staff are to be able to work together constructively within an organization.

5. Organizational Planning

An effective board recognizes the significance of the relationship between an American Indian/Alaska Native organization’s policies and its goals. Either one may come to the board’s mind first, but both must be considered and developed thoroughly before administration can act on them. Although the board does not make implementation decisions regarding its policies, it does take an active interest in the overall operation of the organization. And while board members are not involved with day-to-day program activities, they are involved with collective program results.

Responsibilities of planning include:

- Defining problems
- Evaluating program needs
- Setting priorities
- Establishing an ongoing organizational planning process
- Establishing organizational goals
- Approving an annual budget and securing revenue needed to accomplish goals
- Delegating formulation of action plans to program staff
- Evaluating and approving or disapproving plans
- Developing recommendations for modifying, continuing or discontinuing programs
- Allocating human resources to identify and solve problems
- Developing programs that are compatible with the organizational plan and ultimately meet the mission

Sometimes members are unclear about how to effectively determine and achieve their organizational goals. In the business world, research has identified that there are two primary reasons that teams fail: (1) The individuals doing the work either did not know what the organizational goals were or (2) the team could not translate those goals into the actions needed to produce beneficial and effective results. The challenges that often result in lost productivity and reduced profits for business
enterprises also apply to nonprofit organizations and can significantly impact the viability of the Tribal Court CASA organization.

CASA board members must exercise diligence to ensure that their goals are clearly understood and that the planning and implementation process leads to reaching these goals. There is a mistaken belief that goal-setting and achievement are intuitively obvious processes. But the goal-setting process can be a simple one only if the right resources, training and opportunities are made available to those within an organization who are responsible for setting and achieving those goals.

In order for CASA programs to be successful, details cannot be left to chance. Leadership must work hard to ensure that staff and volunteers are “on the same page.” Organizational success (reaching goals with everyone doing their part) requires that all of the goals set at each level of the organization are congruent and that board, staff and volunteers are all moving in the same direction. That means that everyone is clear about and focused on meeting the needs of abused and neglected tribal children within the scope of the CASA program and their individual roles.

For example, one well administered tribal organization holds senior manager workshops each fall to establish direction. This direction evolves into the organization’s plans for the year to come. The primary deliverable of these sessions is a limited number of high-level organizational goals broad and flexible enough to direct the actions of staff, who will use these guidelines as targets for developing more specific goals relevant to the organization’s services. While Tribal Court CASA programs rarely have these multiple layers of staffing, the principle holds for participation of board, staff and volunteers.

6. Funding

Although American Indian/Alaska Native organizations are sometimes recipients of funds allocated under various federal acts, virtually every organization has experienced the acute need to seek additional sources of revenue. These funds are sought in many ways, including applying for federal grants and land-leasing arrangements with public-sector organizations; engaging in the manufacture and sale of various goods; and seeking donations. In recent years, tightening of the federal budget has raised the fundraising function of board members to one of extreme importance.

Responsibilities related to fundraising include:

- Ensuring that adequate funds are available for operation and maintenance
- Ensuring accountability for expenditures
- Establishing budgets and monitoring overall expenses

7. Organizational Continuity

American Indian/Alaska Native organizations are established with the intent that they will serve a particular purpose for a specific or indefinite time. For those designed to serve for a specific period, this is generally determined by the length of a grant, which may be renewed, or tribal budget allocations, which are generally determined on an annual basis. CASA programs are expected to have a long existence and may sometimes undergo changes brought about by changing service needs, resources and policies. Programs also experience turnover among its board and program staff. It is a function of the board to ensure that despite changes in personnel and tribal endeavors, the CASA program will endure. Responsibilities of this function include:
Establishing the CASA program’s legal existence
Providing continuity in leadership
Developing and maintaining an effective board
Selecting a program director to effectively administer the CASA program and other staff
Selecting effective board members and making the most of their skills, talents and knowledge
Providing organizational direction and purpose
Representing the CASA program in the community at large


**Interrelationship of Functions**

While the board’s functions and responsibilities can be viewed as separate and distinct from one another, they are in practice mutually dependent. None of the seven major functions described above could be removed from the board’s province without jeopardizing the CASA program in some way. When each of the seven functions is regarded as an interlocking part of a whole, they collectively represent the meaning and spirit of the board’s ultimate responsibility: to provide guidance and leadership for the continued survival of the CASA program. Attention to these seven functions allows an effective board to do just that.

An effective board is necessary to achieve an effective program. All organizations react to the quality of direction provided by their leadership. When board direction is strong and clear, its positive effects tend to spread throughout the entire organization. When a board does not fulfill its role in guiding and supporting CASA activities, program staff may become sluggish and ineffective in carrying out the mission of the program.

**Maintaining Board Effectiveness**

When a board is first established and its members are organized, there is usually a high degree of interest and participation directed toward fulfilling the organization’s mission and the board’s primary functions. With the passage of time, however, it is not unusual for boards of directors to develop habits, attitudes or practices that, if left unchecked, may ultimately erode the board’s overall effectiveness.

To safeguard against this possibility, all board members should regularly audit their participation and effectiveness as a group. This task is best accomplished through a series of self and group assessment questions designed to measure board effectiveness. Based on the quality of answers received, the board as a whole will have a reasonable view of how well it is doing, what it is supposed to be doing and how it can do things better. More information on board assessment can be found in Section 12—Assessment.

So that the board continues to generate fresh ideas and energy, the program’s bylaws should establish the length of a board member’s tenure. It is usually advisable to stagger the terms of board members so that half or a third are elected every one or two years for terms of two to four years. Staggered terms ensure that the entire board does not retire at once and take with it all institutional memory. Most organizations limit board members to two consecutive terms—a good approach that
encourages the board to identify and cultivate new board members through a thoughtful and effective process. (Adapted from page 29 of *CASA: A Guide to Program Development*, National CASA Association, 2002.)

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**Board of Directors Checklist for Effectiveness**

As a board member, how do you determine whether you are getting the job done? The following points are indicators that board members can review to determine how well they are performing essential functions:

- Fulfilling legal responsibilities
- Setting the tone for program staff
- Providing meaningful leadership and direction
- Setting a healthy climate for action, progress, values and direction
- Delegating responsibilities that are not primary board concerns
- Ensuring that adequate funds are available for financing the organization’s operation, including appropriate staffing, working conditions, salaries and facilities
- Avoiding dissension among members
- Establishing goals and priorities, then following through
- Adhering to the bylaws
- Maintaining a balance of power among members
- Asking detailed questions and insisting on satisfactory answers
- Discussing matters before the board in as much detail as needed before making a decision
- Formulating clearly defined policies
- Stating policies in general terms
- Ensuring that the population served and the community at large are reasonably well informed of CASA goals and activities
- Establishing and using an evaluation system
- Understanding the responsibilities and powers of the board and participating fully and effectively
Section 3

Financial and Fundraising Responsibilities of the Board

Your Financial Responsibilities

Most board members are not CPAs, bankers or financial wizards by trade. So how are you as a board member supposed to understand complicated funding streams and monthly financial statements?

You do not have to figure this out all by yourself. You are not responsible for knowing where every penny is being spent. That is the responsibility of your program director and other staff. Your financial responsibility to the Tribal Court CASA program you serve is to oversee and monitor the financial health of the organization. The Board of Directors is responsible for accountability and to ensure prudent financial management.

Here are the four primary areas of finance that you are responsible for as a board member:

1. **You set financial policy and ensure sound financial management practices.** Policies need to be created to guide the program director in carrying out the mission and to ensure that the entity has solid financial management practices. Internal controls must be in place. Every board member should have information about how money is spent. Sound financial policies limit the director’s ability to spend large sums without board approval, establish check-signing authority and bank reconciliation requirements and cover other financial matters. Recommended financial control procedures can be found in Appendix K—Sample Internal Controls Policy.

2. **You help develop and approve the annual budget.** Your budget is the financial blueprint for the organization based on the program’s resources and financial policies. You must make sure that there are realistic sources of income in the budget adequate to deliver the services and meet the goals and objectives for the coming year. A board of directors needs to be aware of the expense related volunteering and that in some communities the cost prohibits individuals from serving. In such cases the board may approve, through the budget, the payment of volunteer expenses (mileage, parking, and meals when in meetings away from home) and stipends. A Tribal Court CASA program may have staff serving on cases if the program is unable to recruit an adequate number of volunteers. The development of philosophies, policies and practices that address these challenges is the joint responsibility of board and staff. The appropriate monitoring of these expenditures is the responsibility of the board of directors.
3. **You delegate implementation of financial policies to your program director.** It is the program director’s job to spend the organization’s money—to make all spending decisions within the budget’s limits.

4. **You monitor financial outcomes.** Board members must be aware of the program’s available funds and obligations.

Remember: you monitor results. Rather than trying to monitor every single purchase the organization makes, pay attention to larger-picture concerns by asking questions like these:

- Are we on target with our planned expenses and revenues?
- What are the major variances in revenue and expense items?
- Are we financially solvent?
- Will we have cash to meet future costs?
- Are we meeting our grant or contract obligations?

Which financial information do you need to see?

1. **A basic revenue and expense statement.** A list of actual revenues and expenses organized by category (for example, grants and donations for revenue; travel, supplies, salary, benefits and taxes for expenses) along with the annual budget will give you a good idea of revenue, expenses and operations. Review this statement monthly, and ask about large variances from budgeted income or expense.

2. **Historical figures for comparison.** This will put the numbers into context for you. You will want to review this month’s figures and compare them to last month’s as well as to those from the same month last year.

3. **IRS Form 990.** Make sure this is prepared annually if your program has expenditures of over $25,000.

4. **Financial review.** Make sure this is prepared if your program has expenditures of over $25,000 annually.

5. **Audit.** Make sure this is prepared if your program has expenditures of over $100,000 annually.

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**Important Note**

Use caution in imposing unrealistic spending limits on the program director. In other words, do not limit the program director’s ability to function by having a very low spending limit. Generally, program directors are authorized to spend up to $1,000 without board approval and within the total program budget.
Your Fundraising Responsibilities

Fundraising is one of the primary responsibilities of the board of directors. While not all board members will be great fundraisers, every board member must support fundraising efforts in some way. The old saying is “Time, Talent and Treasure” are required of board members. You need to volunteer your time, bring your unique talents and make an annual gift that is significant to you in your situation. In tribal communities, volunteering talent and time is part of community responsibility, and those who make these contributions are recognized and honored. Being a committed representative of a program that is trying to help abused and neglected children within your tribal community will encourage community members as well as other funders to invest in your efforts.

The first step is for each board member to make a personal commitment to fundraising, including a personal financial contribution each year. Remember that when you give to the CASA program yourself, it becomes easier for you to ask others to make contributions of any size.

Fundraising Activities

Your CASA program may involve itself in the following kinds of fundraising activities. As a board member, you will be involved in some of these efforts:

1. **Annual campaigns** raise money for operating expenses during the year. Campaign solicitations may include direct mail, telephone calls and personal contacts. Individuals are the top source of all giving.

2. **Special events** generate money for operational expenses. Examples of events include fun fairs for children, car washes, community walks or runs, special dinners and family picnics. Some tribes hold a blanket dance during one or more pow-wows to collect funds for special projects such as the CASA program. Special events can be developed on any scale—designed to raise a lot of money or a little. Events are the most time- and labor-intensive of all fundraising methods and should be considered accordingly. In understaffed CASA programs, events work best when a committee of volunteers takes on the many details.

3. **Grants** are the primary source of funding, at least initially, for most Tribal Court CASA programs. In addition to the short-term grants available through National CASA, funding sources can include federal and state government, corporations and foundations. Some federal grants, such as the Children’s Justice Act grant from the Office for Victims of Crime or the Tribal Youth Program grant from the Office of Juvenile Justice and Delinquency Prevention, may provide two or three years of funding for staff and other program development expenses. (See
Grants from foundations and corporations usually provide one-time funding for special projects or purchases, such as computers, office equipment or specific services. While grants can often provide a large windfall of money to an organization, it is necessary to develop other sources of funds for long-term stability.

A goal to strive for is to have a diverse funding base with no more than 20% of revenue coming from any one source. While difficult to achieve, this situation provides the security of knowing that the loss of one funding stream will not mean that your CASA program is in danger of closing its doors. As in so many other areas, strength comes through diversity.

**Fundraising Idea #2**

During the year, a CASA program in Oregon recruits local crafts people and artists to make handmade items that can be sold during the winter holiday season at a local gift store. All proceeds go to the CASA program, with the local store donating its staff to handle sales and record receipts.

After a program has developed a large and diverse base of donors and the program’s sustainability is secure, it can also consider more ambitious fundraising efforts:

1. **Capital campaigns** raise funds for special purchases or building projects. A capital campaign requires extensive planning and runs for 18-36 months. Capital campaigns require a base of existing individual major donors and prospective new ones.

2. **Planned giving** raises money for the future. Planned gifts can come from bequests, insurance and other financial tools used by individuals making estate plans.
**Fundraising Idea #3**

In communities where raffles are legal, have board or advisory committee members and youth volunteers sell 50-50 raffle tickets at local pow-wows and community events. The winner of the drawing receives half the pot collected while the CASA program receives the other half to support its operations.

Another idea is to raffle firewood in a community that is dependent on burning wood. Local board members and volunteers cut a truckload of wood and sell raffle tickets for the wood to benefit the CASA program.

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**Fundraising Idea #4**

Develop a local “Indian foods” cookbook by collecting favorite recipes from elders. Include quotes from the elders about beliefs and values regarding children—or their happy memories of childhood experiences. Sell the cookbooks at tribal events and local bookstores. Try to recruit a student or other volunteer to contact elders and collect their recipes and stories.

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The National CASA Association’s *Guide to Rural Fundraising* offers a number of easy-to-imitate strategies to help communities raise money more effectively. Chapter 6 of National CASA’s *Guide to Program Development* also has a number of pointers for funding a CASA/GAL program. Both documents can be found online at casanet.org. From the home page, select “Program Services—Guides and Manuals.”
Section 4

Roles of Board, Advisory Committee and Program Director

It is important to have a written inventory of responsibilities divided among the board, advisory committee and program director. Appendix J—Board and Staff…Who Does What? can help the organization develop this inventory appropriately. Also see Section 5—Board Member/Program Director Relations. In the chart below are suggestions for who should be responsible for various activities and decisions.

<table>
<thead>
<tr>
<th>Issue</th>
<th>Board</th>
<th>Advisory Committee</th>
<th>Program Director</th>
</tr>
</thead>
<tbody>
<tr>
<td>Long-term goals (More than 1 year)</td>
<td>Approves</td>
<td>Advises</td>
<td>Recommends and provides input</td>
</tr>
<tr>
<td>Short-term goals</td>
<td>Monitors</td>
<td>Advises</td>
<td>Establishes and carries out</td>
</tr>
<tr>
<td>Day-to-day operations</td>
<td>No role</td>
<td>No role</td>
<td>Makes all managerial decisions</td>
</tr>
<tr>
<td>Budget</td>
<td>Approves</td>
<td>Advises</td>
<td>Develops and recommends</td>
</tr>
<tr>
<td>Capital purchases</td>
<td>Approves</td>
<td>Advises</td>
<td>Prepares requests</td>
</tr>
<tr>
<td>Decision on building, renovation, leasing, expansion</td>
<td>Makes decisions, assumes responsibility</td>
<td>Advises</td>
<td>Recommends (could also sign contracts if given authority)</td>
</tr>
<tr>
<td>Supply purchases</td>
<td>Approves budget and financial internal controls</td>
<td>No role</td>
<td>Purchases according to budget and financial internal controls and maintains an adequate audit trail</td>
</tr>
<tr>
<td>Grant applications</td>
<td>Approves</td>
<td>Advises</td>
<td>Develops and recommends</td>
</tr>
<tr>
<td>Volunteer selection</td>
<td>No role</td>
<td>No role</td>
<td>Approves all selections</td>
</tr>
<tr>
<td>Volunteer evaluation</td>
<td>No role</td>
<td>No role</td>
<td>Evaluates volunteers</td>
</tr>
<tr>
<td><strong>Issue</strong></td>
<td><strong>Board</strong></td>
<td><strong>Advisory Committee</strong></td>
<td><strong>Program Director</strong></td>
</tr>
<tr>
<td>---------------------------</td>
<td>-----------------------------------------------</td>
<td>------------------------</td>
<td>--------------------------------------------</td>
</tr>
<tr>
<td>Emergency repairs</td>
<td>Chair works with program director</td>
<td>No role</td>
<td>Notifies board chair and acts with concurrence from chair</td>
</tr>
<tr>
<td>Billing, credit and</td>
<td>Adopts policy</td>
<td>No role</td>
<td>Proposes policy and implements it</td>
</tr>
<tr>
<td>collections</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hiring of staff</td>
<td>Hires program director only</td>
<td>Advises in program</td>
<td>Approves all hiring</td>
</tr>
<tr>
<td></td>
<td></td>
<td>director hiring only</td>
<td></td>
</tr>
<tr>
<td>Staff deployment and</td>
<td>No role</td>
<td>No role</td>
<td>Establishes schedule</td>
</tr>
<tr>
<td>assignments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Firing of staff</td>
<td>No role except with program director</td>
<td>No role</td>
<td>Makes final termination decisions</td>
</tr>
<tr>
<td>Personnel policies</td>
<td>Adopts</td>
<td>No role</td>
<td>Recommends and administers</td>
</tr>
<tr>
<td>Staff salaries</td>
<td>Allocates line item for salaries in budget</td>
<td>No role</td>
<td>Sets and approves salaries within budget</td>
</tr>
<tr>
<td>Staff evaluations</td>
<td>Evaluates only program director</td>
<td>Advises governing</td>
<td>Evaluates staff</td>
</tr>
<tr>
<td></td>
<td></td>
<td>board re: program</td>
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<td></td>
<td></td>
<td>director</td>
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</table>

**Advisory Committee/Program Director Relations**

A key role for advisory committee members is to support and promote (along with the governing board) the program director's ability to manage and develop the program. The advisory committee should provide a forum for discussion and feedback for the program director regarding relationships with other agencies, financial and program development issues and volunteer recruitment and management issues. Depending on the CASA program’s relationship and place within the greater agency or tribal government structure, the advisory committee may also be asked to assist with evaluation of the program director’s performance among other nontraditional roles discussed in the Introduction.
The development and maintenance of a good working relationship with the board is one of the primary responsibilities and challenges of the program director. (See also Achieving Our Mission, pages 4-7.) The Tribal Court CASA board will hire only one employee: the program director. In order to develop and maintain a good working relationship, it is important to refrain from infringing on the director’s role—that is, to respect the director as the manager of other staff of the organization.

Well laid groundwork, open communication, specific job descriptions and clear expectations can go a long way toward preventing conflicts between the board and the program director. When conflicts do arise, they generally have to do with whether certain tasks fall under the authority of the board or the director. (See the chart in the previous section.) Board members support their program directors by letting them know what they want—they provide direction. Board members also support program directors by ensuring that money is available to carry out activities. Program directors, of course, carry out the board’s plans—they are the managers. For the board to know how things are going, a program director must provide reports and feedback. To meet changing needs and ensure program improvement, the program director must also recommend new courses of action.

**Board Member Roles**

The following five topics should help board members separate their role from the program director’s role as manager. The program director fills the following program staff functions:

**Planning**

Although the board makes long-range plans (2-5 years), the program director is responsible for making short-term plans to fulfill the current year’s budget and objectives. The director is responsible for working with employees and volunteers to set goals and timetables for what they plan to accomplish. The director assigns tasks and determines priorities based on the broad plans developed by the board.

An example of micromanagement is when a board member tells the program director what equipment to purchase. If an item is budgeted, the program director should decide the specifics of how to spend the money.

**Organizing**

Program directors must organize an internal structure to help them deliver the CASA program’s services. Frequently, board members want a say in what kinds of staff positions are created. For
example, a board member might think the priority should be to create an administrative assistant’s position (and perhaps even fill it with an acquaintance) when the program director wants to hire a business manager. Program directors should be able to create the kinds of positions and internal structure they deem necessary.

**Staffing**
The program director is in charge of hiring (and firing if necessary) other staff members. The board is in charge of hiring and firing *only* the program director.

Board members should judge their program director by the performance of the entire organization—not of individual staff members or volunteers. It is important to let the program director assess the performance of individual staff and volunteers.

**Directing and Leading**
Program directors motivate staff. They should inspire them, give them direction and communicate well with them. The director also makes sure that all members of the CASA team understand their role and function and that they have the tools necessary to perform their duties. Program directors should have the qualities described in Section 6—Leadership: The Board's Most Crucial Function.

**Managing**
The program director manages the day-to-day operation of the program, including measuring and correcting the activities of staff members and controlling spending of the current budget. The board manages how much is allocated for broad line items in the budget, such as “staff payroll.”

It is critical for board members to stand back and give the program director the opportunity to manage the program. Naturally there will be some problems along the way. But the board should evaluate the program director’s performance as a manager by assessing what the entire organization has accomplished. As long as board members are satisfied with the overall results, they should let the program director manage independently. For more on this topic, see Section 12—Assessment of the Program Director, Board and Program.

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**A Guiding Principle for Your Board and Program Director Team**

Support of the program director is a primary responsibility of the board. Maintaining communication is primarily the responsibility of the program director. Good relations between the board and program director can break down when you neglect this golden rule.

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**Tips for Board Members**

**Do Not Second-Guess the Program Director**
The best way to get this message across is to cite an example: Several board members from a CASA program were shocked when they each got a letter from a disgruntled person who had been served by their organization. “It was quite a surprise,” said one board member. “We’d seldom heard any
complaints about our program director or organization before.” Her first reaction was similar to other board members: Get the problem on the agenda for the next board meeting and hash it out.

“It was a very delicate issue,” she explained. “Here was what appeared to be a very valid complaint about our program director and an appeal to us for help. At the same time, we’ve always placed full confidence in our program director.” Two other board members placed the complaint on the agenda for full board consideration. After doing so the board learned the program director already had the situation well in hand.

“We all learned a lot from that episode,” the board member explained. “Board members should be sensitive to public appeals and complaints. But we should also give the program director a chance to handle problems first.

“Board members have a right and a responsibility to be informed about what goes on in the organization we’re elected to govern, but we hired the program director to make the program staff decisions, and we should let him do that.

“Of course, he makes mistakes once in a while—just as we all do. If his decisions are frequently bad, he’s subject to dismissal. Otherwise, we shouldn’t be second-guessing everything he does.”

Avoid the Temptation to “Fix” Things

Another example: After a board member was elected treasurer, he discovered a major weakness in his organization’s accounting system. So he promptly rolled up his sleeves and personally engineered some internal changes. How should this action be judged?

You cannot blame the board member for wanting to correct the situation. These days, many board members are recruited because of their technical skills. If you have some skills in finance, it is only natural that you would want to straighten things out.

In fact, your program director might want to do the same thing. But if your organization already employs a bookkeeper, it is his or her job to run things in accordance with organizational policy. Good program directors give staff direction and then stand back to let them do the job. Employees should be given a chance to correct a problem once it is pointed out to them.

The program director—not board members—is ultimately responsible for correct and timely financial reports. Program directors should also be given a chance to correct problems within the organization. Always keep in mind that the board hired a program director to manage. If something in your organization looks like it is not being addressed, point it out to your program director and say you would be available as a volunteer if additional advice is needed. Ask for updates on how the problem is being solved. But do not jump in and fix it yourself without being asked.

Keep the Number of “Bosses” Down

“I have five board members,” a program director states, “and I feel like I have five different bosses. …Board members are always on the phone telling me to do this or do that.” Board members should not individually direct the program director. One board member, preferably the president, should serve as the direct supervisor of the program director.
Let the Program Director Manage Even in a Crisis

Sooner or later, your program could find itself in the middle of a crisis: a building fire, a staff or volunteer scandal, a lawsuit. When a crisis strikes, unwanted public attention is sure to follow on its heels. And just as quickly, board members will become the focus of public pressure to get the problem solved. The temptation for board members to take immediate action is strong.

A crisis should not suddenly change the way your board operates. It is not the time to make new policies; rather, it is time to fall back on the policies you already have and let them work. Board members should ask themselves, “Can the board really do anything about this situation?” What should the board do when crisis strikes?

- Designate one person—probably the program director—to be the spokesperson. When you speak to the public, voice the official organizational position, not your individual opinion.
- Keep yourself informed by the right source—your program director. Of course, there will be public pressure on board members to do something about the problem, but this just means that board members need to make sure they are accurately informed about the issue.
- Support your program director. Get questions out of the way at board meetings and then back the program director during the crisis. Tell the program director you appreciate the work being done to solve the problem, and make sure the public sees your support. The program director should be hired to manage at all times, not just when things are going well.

The National CASA Association’s *Standards for Local CASA/GAL Programs* require that local programs have a crisis management plan that addresses issues that may have significant impact on the credibility, reputation or funding at the local, state or national level. Contact National CASA for information on developing a crisis management plan.

| Board members can influence the community and help keep a crisis from getting worse. |
Leadership: The Board’s Most Crucial Function

A vision is the mental journey from the known…to the possible.

Karen Hall, Tribal Governance Specialist

Whether a Tribal Court CASA program has a board of directors or an advisory committee that functions in some ways like a board, leadership is crucial to the success of the CASA program. Leadership is a highly valued quality in tribal societies, and it must be earned. The Tribal Court CASA board is seen as the voice for tribal children, so it is essential that the members carry out their roles with the highest level of commitment and integrity.

Leadership is in part the setting of goals and policies that will aid the organization in achieving its purpose. But it is also important that Tribal Court CASA program leaders convey a “value system” for the program to all people involved. Board members represent the very values of protecting and promoting the safety and healing of American Indian/Alaska Native children that shape the court system, the CASA organization, the tribe and the community. As the “servant-leadership” model teaches, the leaders serve the people. (See the books of Robert K. Greenleaf or greenleaf.org for more information.)

The leadership of a Tribal Court CASA program need to be “team players.” Cooperative planning and working together in teams is not a new concept to Native people. Throughout time, members of tribal communities have come together in small and large groups to develop strategies to deal with problems and challenges, to consult with each other and to develop solutions. These skills and relationships are still important today.

The leadership role that the CASA board or advisory committee can play in addressing child abuse in your community cannot be overstated.

The distinction between making and implementing policy relates directly to the role of the board and its position in the organizational structure. Leadership is the concern of board members because they have been entrusted with their organization’s destiny. The only way a tribal organization can
survive and prosper is through the combined efforts of program staff and those who are charged with the responsibilities of leadership.

### Inspiring a Shared Vision: Overview of Leadership

Successful organizations have leaders who are dynamic, thoughtful and effective. They lead an organization by staying focused on the mission and by keeping in mind the outcomes they wish to achieve. Successful leaders are able to inspire, comprehend and sustain a shared vision among those they lead and those they serve.

### Leadership Roles and Characteristics

Successful leaders…

- Know their tasks and the issues thoroughly
- Stay on top of current developments, trends and theories
- Know their people, including their strengths, weaknesses, hopes and goals

A capable leader…

- Is a good listener
- Is accessible
- Exhibits decisiveness
- Is gracious
- Keeps it simple
- Possesses an optimistic outlook
- Gives credit when due
- Solves problems
- Speaks directly
- Is a teacher
- Acknowledges mistakes
- Is enthusiastic
- Values intuition
- Likes challenges
- Is ethical
- Values diversity
- Is a good communicator
- Avoids quick judgments
- Acknowledges strengths

- Share a vision of service, excellence, ethics and achievement with others
- Demonstrate by their words and actions their strength of character and integrity
- Are seen as worthy of this position by their followers

- Untangles complications
- Is realistic
- Takes credit when appropriate
- Has good self-esteem
- Avoids office politics
- Understands how systems work
- Requires accountability
- Explains “why” when appropriate
- Maintains calm
- Is visionary
- Is a good motivator
Good leaders exhibit a strong sense of purpose and wholeness. They are in tune with a personal definition of success. They know what they want most out of life. Their code of conduct and philosophy is strong and deep. Leaders of such constitution will make decisions not only by intellect and logic but also by what “feels” right in their hearts.

Effective leaders have made complete studies of themselves. Strengths and weaknesses are accurately measured and then inventoried. They list the personal habits they want to develop and constantly evaluate their goals and the direction in which those goals will take them.

In American Indian/Alaska Native communities, it is important for leaders to be respected and accountable to their community values as well as aware of the political and social dynamics that can affect their mission. An effective leader’s self-image is objective and secure. Good leaders need healthy self-esteem because how we feel about ourselves controls the degree to which we believe we are capable of making a difference: our performance will be in accordance with that belief. Leaders with appropriate self-esteem are able to influence others because their sense of personal security is high. What leaders believe about themselves is also a strong indication of what they will believe about their subordinates.

**Exemplary Leadership**

Richard Iron Cloud is chairman of the board of directors of the Oglala Lakota CASA Program (Pine Ridge Reservation in South Dakota) and is an exemplary yet humble leader. In 2003, he sought to set an example for other community members about determination and healthy choices. Although he reported anxiety about swimming and was unsure whether he had the stamina to make the distance, he swam from Alcatraz Island to the shore of San Francisco Bay to prove to himself he could overcome his fears and achieve his goal. He took on this event quietly; very few people in his home community even knew he was doing it until after it was done. Richard Iron Cloud is willing to face the challenges that he expects of others and does not seek recognition or applause for his commitment to making healthy choices. In the same way, he provides leadership, guidance and support for the Oglala Lakota CASA Program—quietly, without fanfare, but steadily and with the wisdom of one who has “walked the talk” himself.

*Other Tribal Court CASA programs will undoubtedly identify someone in their community who has demonstrated these qualities of leadership.*

Leaders are visionaries, teachers and motivators.

**Leader as Visionary**

A vision is a picture of “what if” and “why not.” A visionary sees what “might be.” The vision is the dream one creates of the future. Whether the vision is being created for oneself, one’s family, one’s tribe or one’s organization, the process of creating and developing the vision is the same. It is the
means by which one takes the lessons of the past and adds one’s hopes, dreams and opportunities for the future.

Clear visions do not come quickly. They begin as parts in a jigsaw puzzle developing in an individual’s mind one piece at a time. A truly effective leader is a visionary who sees possibilities and opportunity where others see only problems and difficulty. Productive visions are clear and challenging, and they are the seeds from which excellence and positive solutions are born. The effective leader is able to develop visions of unbridled clarity that all may understand and use.

If you want to teach someone how to build a boat, don’t give them carpentry tools, rather teach them to long for the sea.

Antoine de St. Exupery

Visions focus on the future. In a person’s lifetime, one is limited by the scope and breadth of one’s own visions. If there are any limits, they come from within. When new to this exploration of visions, one may have the tendency to limit one’s horizons. “Let’s not get too far out,” is a common thought or, “I don’t want us to get carried away,” or “How would we ever pull that off?” As leaders practice creating visions, they must learn to squelch tendencies to feel limited. One of the greatest limits one can create for oneself is concern about “how” to bring a vision to fruition. How becomes a limit to what one thinks is possible. Board members should remove the hows from their vision. They will return to the hows during the nuts and bolts of planning.

In our way of life, in our government, with every decision we make, we always keep in mind the Seventh Generation to come. It’s our job to see that the people coming ahead, the generations still unborn, have a world no worse than ours—and hopefully better. When we walk upon Mother Earth we always plant our feet carefully because we know the faces of our future generations are looking up at us from beneath the ground. We never forget them.

Oren Lyons, Onondaga Chief

The ability of a leader to be an excellent “painter of pictures” and “storyteller” is paramount to the success of the vision. This is the ability to simply pass the vision on to others. A successful leader can, for instance, convey and build the values and culture of the group as well as a passion for the vision. The vision conveyed properly will instill in the group a belief that they are capable of performing what is necessary to accomplish the mission. The leader’s vision is as much about stirring people’s hearts as it is about challenging their minds. For a CASA board or advisory committee, the vision includes what they want for their tribal community children. Leaders foster skills in their followers so that the organization as a whole takes on the qualities of leadership. Then the organization paints for the broader community the picture of what is right for tribal children.

Leader as Teacher

Leaders are great teachers of those they lead. They are also steadfastly teachable by all who surround them. Successful leadership requires that those being led participate in the decision-making
process. By involving others in both analyzing the problem and creating the solution, more comprehensive and in-depth knowledge will be generated. This process also creates individual commitment to the implementation of proper solutions. Consequently, the group will feel a much higher level of ownership in the solution, which provides great security to the CASA program. It also generates self-esteem and trust, which further stimulate the development of creative ideas. As an environment of trust is created, ideas are shared and better information is gathered for the good of the cause.

It is not necessary for a leader to have all the answers. To the contrary, it is necessary that they know they do not have all the answers. Good leaders develop answers and solutions with the help of those around them. The encouragement of many opinions and points-of-view creates an important sense of vitality in the organization. Leaders who see only from their own point-of-view are severely handicapped.

**Leader as Motivator**

Valuable leaders are positive motivators. It comes naturally to some, while others must learn how. Some are just adequate motivators, while others can successfully lead armies. It is all in the style of motivation. There are three basic types.

**Incentive Motivation:** This style is based on personal reward. “Do these 20 tasks and you will get a bonus in your paycheck.” In other words, individuals will perform because they want the reward—not because of any particular commitment to the task. The results are positive, short-term and inward-focused.

**Restrictive Motivation:** This style is based on punishment. “Decrease organizational spending or you will be fired.” This style of motivation creates negativity and dysfunction. The results are short-term solutions based on fear.

**Constructive Attitude Motivation:** It is by this method that one creates personal satisfaction in a job well done. A passion for the cause is developed, and great energy is called forth to accomplish the end result. It is long-term and self-propelling. The end result is a “want-to” attitude. People operating on passion and desire require far less supervision and are abundantly more productive.

Individuals lacking in self-confidence often feel threatened or “less than.” The tendency for these people is to argue amongst themselves. As a result, the work environment suffers, as do personal relationships. Leaders must instill a climate of confidence. If leaders constantly find people doing things wrong, those individuals will simply lower their heads and make no effective decisions for fear of drawing yet more criticism. True leaders work to provide a climate of mutual trust, guidance and learning so those they lead are able to act in an empowered manner.

“Board member,” “administrator,” “manager,” “program director” and “supervisor” are labels that are often used in descriptions outlining one’s responsibilities and duties. An individual may carry any of these titles, but none automatically makes anyone a leader. Being an inspiring and motivating person is ultimately the only way that the title of “leader” can really be earned. Successful leaders commit
themselves to the organization and foster that same kind of commitment in their followers. True leaders (not leaders by job title) are chosen by those they lead.

**Leadership Tree**

Tribal Court CASA program leadership is like a tree. Values, integrity and ethics are the root structure. Commitment to children nourishes the roots, encourages new growth and strengthens the resolve to withstand the storms of limited funding, politics and discouragement.

Many of the greatest leaders in American Indian/Alaska Native history have had a vision of hope and change that was at times not shared by many. This seems to be the single characteristic shared by all great leaders: a compelling vision or dream.
Section 7

Politics, Confidentiality, Conflict and Liability

Working with Tribal Politics

Contemporary tribal government systems may involve political challenges that impact the development and progress of the Tribal Court CASA program. It is important that the Tribal Court CASA program have clearly defined, ethical and healthy relationships with the tribal government as well as traditional leaders who will provide short- and long-term support for the program and Tribal Court CASA volunteers. Recognizing the sovereignty and thus the importance of tribal government in the success of the Tribal Court CASA program is crucial to achieving this support. Ethical and culturally accountable interaction with tribal leaders is essential to ensuring that the Tribal Court CASA program is accountable to the community as well.

Tribal Court CASA program board members, staff and volunteers may experience the variable dynamics of tribal political issues on many levels, so it is important for the board to be aware of the potential for these dynamics to impact the success of the program and to help develop strategies that will assist staff and volunteers in addressing them. These interactions may include defining the program’s relationship to the Tribal Council and tribal administration, developing relationships with other tribal program directors, possible involvement in tribal/state relations in advocating for tribal children and contact with tribal members and tribal children.

When there are tribal elections or other political changes, it is important that the board support the Tribal Court CASA program and CASA program director’s position. The Tribal Court CASA program staff and volunteers must be valued as members of the community and as advocates for abused and neglected tribal children; the board can help deflect any political actions that may displace the staff or discredit the program during these changes.

To be proactive, the board can advocate that the Tribal Council and administrators, staff of tribal child and family service providers, Indian child welfare workers, victim advocates and the child protection team be trained on the purpose, role and actions to be expected from Tribal Court CASA volunteers. Board members need to examine their ability to serve in a balanced and credible manner if they are employed or otherwise involved directly in any of these roles or programs. Maintaining clear program separation from other tribal programs and governmental influences is essential for the Tribal Court CASA program to be accepted and credible to the community. Independence, credibility, confidentiality and compliance with privacy laws can help a CASA program avoid excessive and oppressive tribal politics.
Confidentiality

Throughout the child abuse response system, all programs and individuals are responsible for protecting and preserving the confidentiality of the abused or neglected child as well as the child’s family. Federal law sets the standard for confidentiality, and many tribes have enacted similar provisions. Every program serving tribal children and families with social needs is challenged by the need to keep information about clients confidential. It is important that CASA board members set a strong example regarding confidentiality and establish clear and appropriate consequences for CASA representatives who breach this important aspect of trust and respect. The challenges of maintaining confidentiality and credibility may be especially difficult in small tribal communities where many people are related to or have frequent contact with each other.

Tribal codes should address standards for sharing of confidential information with CASA program volunteers, usually detailing the scope of information that can be shared and who has access to court and social services records. Some states have laws that permit the public to attend all or part of child abuse court hearings; thus not all information in those cases is confidential. Programs should restrict sharing of confidential information to individuals authorized by the court to have access. Tribal Court CASA program staff and volunteers may also take steps to reduce speculation by community members about who is involved in the legal system by offering other activities and services at the same location. One Tribal Court CASA program offers a variety of community events in the same building where they house the advocate program. People coming to this building may be attending a sewing class or meeting with an advocate.

Unauthorized disclosure of client information is a criminal offense, with repercussions varying by state.

Conflict of Interest

A potential risk to the success and credibility of the Tribal Court CASA program is conflict of interest for board members. Even the appearance of putting one’s personal interests ahead of the CASA program’s interests, or having questionable reasons for being on the board, can negatively impact the Tribal Court CASA program’s credibility.

The board must be informed about state and tribal laws that define what constitutes a conflict of interest for nonprofit board members as well as National CASA Association standards requirements in relation to conflicts of interest. Potential conflict of interest challenges can range from accusations that a CASA staff member or volunteer has a personal conflict of interest to encountering a Tribal Council member who is personally involved in a specific case while having authority over the Tribal Court CASA program funds. Furthermore, tribal employees and service providers inevitably have casual day-to-day interaction with Tribal Court CASA representatives. They are often in daily contact with people who may try to influence or discuss situations that are confidential. This level of contact can be a challenge for an advocate in Tribal Court and requires strong leadership, clear policy and support from the board to address attempts by others to influence the CASA volunteer’s role.

Tribal community members may turn to Tribal Court CASA board members to address apparent conflicts. The role of the board as a whole—but not of individual members—is to enforce conflict of interest policies used in program operation and for the board itself. It is crucial that Tribal Court
CASA board members be individuals who have the respect of the community and tribal leaders if these conflicts are to be resolved successfully. National CASA Association Standards for Local CASA/GAL Programs require a written conflict of interest policy that governs the conduct of members of the governing body, program staff, volunteers and paid consultants. See Appendix I—Sample Conflict of Interest Policy.

A periodic conflict of interest check for staff as well as board members can prevent accusations from arising. The best protection for the Tribal Court CASA program is to write a conflict of interest policy that is in compliance with National CASA standards. The policy should be reviewed annually. New board, staff and volunteer members should sign it, and signed statements should be kept on file.

**Grievances**

The board has an important role in protecting the relationship between the program and the Tribal Council as well as in defusing attempts by individuals to discredit the actions of Tribal Court CASA staff or volunteers by going to their elected Tribal Council officials with grievances. It is best to address grievances immediately, especially those asserted by Tribal Council members. A written protocol for responding to grievances is necessary. Allegations that any staff or volunteers have committed a felony act should result in immediate consultation by the board and program director with an attorney. Nonprofit organizations may request an attorney for pro bono (no cost) advice. A Tribal Court CASA board may also be able to consult with the tribal attorney representing the program.

**Liability**

In simple terms, liability means responsibility. As discussed in previous sections, boards hold a certain amount of power because they are authorized to control the CASA organization’s personnel and funds. Along with this power comes legal responsibility. This is because if an individual, group or another organization claims financial or physical injury, the courts must determine who is responsible, who must remedy the injury and what the remedy must be.

When organizations are named in suits claiming damages, courts use sets of standardized rules to aid in determining whether board members are guilty of causing loss or injury. Standardized rules are also applied to determine whether individual board members are personally liable; in other words, whether the injured party can collect damages from board members’ income, savings and other personal assets. Depending on the case, the injured party may be able to collect from the organization (tribal or CASA liability) or from board members or employees themselves (personal liability).

**Potential Liability**

The standardized rules used by courts to determine liability have their basis in decades of case law. Most of these cases have involved private for-profit organizations in the dominant culture. To a lesser degree, case law also reflects involvement of nonprofit organizations such as public charities, professional or trade associations and service or religious groups. Various parties such as employees, individuals and public or private groups have brought lawsuits. Sometimes the federal government brings suit for violation of antitrust or securities (stock) laws or for tax violations. In recent years,
the incidence of shareholders in private corporations claiming damages for losses supposedly “caused” by board decisions has become something of a trend. Nonprofit organizations that raise money for charitable operations are now more likely to face civil suits concerning fundraising activities or other operations.

Cases such as these, which often involve multinational organizations or nationwide nonprofit organizations, may sound quite removed from the realities of Indian country. It is true that the likelihood of these organizations having to face certain types of lawsuits is not as great as for others. However, the fact is that while tribal for-profit and nonprofit groups are somewhat unique in status, the status of incorporation does confer on them many of the same powers, responsibilities and potential liabilities that other organizations face.

For example, tribal organizations are bound by the federal regulations which authorized their respective federally regulated establishment (such as the Alaska Native Claims Settlement Act or the Indian Reorganization Act), state laws of incorporation (in most cases) and the bylaws of the particular organization.

The improbability of lawsuits does not render them impossible. If lawsuits were to arise in certain areas, the courts would very likely rely on many of the standardized rules developed from traditional for-profit and nonprofit organization law. For these reasons, it is important for board members to be aware of:

1. Ways in which they are clearly bound by law, including federal regulations and state codes as well as tribal and organizational bylaws
2. Ways in which standard rules of liability would probably be applied to them if a lawsuit were to arise

How to Protect Yourself as a Board Member From Liability

The best advice may be summed up in the following suggestions:

1. **Know your legal guidelines and requirements.**
   These include federal, state, local and tribal guidelines plus those contained in your own tribal and CASA bylaws. If you are not informed about these areas, it would be well worth it to ask your Tribal Council, tribal attorney or CASA attorney to provide a briefing to the board.

2. **Delegate, but do not abdicate.**
   Board members should delegate day-to-day activities and implementation of CASA policies and programs to the program director as appropriate. But this does not mean that you can shed your responsibility for overall program performance.

3. **Make informed decisions.**
   “Seeing no evil” no longer stands up in court, as numerous cases have shown. You are expected to know what is going on within the organization and to base decisions on facts, not just recommendations.

4. **Avoid flagrant conflicts of interest.**
   Given the unique situations in Indian country, it is probably wise for individual boards to develop conflict-of-interest policies that meet their specific needs and
reflect their realities. Then you will have pertinent written guidance on when you need to make disclosure statements to the board. See Appendix I—Sample Conflict of Interest Policy.

5. **Stay abreast of the financial situation.**
   The organization’s financial status, including taxes, contracts, employee benefits and salaries, should be fully available to you as a board member. Financial reports should be presented to the board on a regular basis, preferably monthly. Depending on the amount of revenue your program generates annually, an audit or financial review should also be conducted. You need to ask for and obtain sound financial information whenever you need it for oversight or decision-making purposes.

6. **Attend meetings.**
   To the best of your ability, you should attend board meetings. You must invest yourself in your role if you are to be successful and effective.

7. **Participate in board meetings.**
   Ask questions. Get a discussion of issues started. Propose alternatives. Board members need to actively shoulder their responsibilities for the organization’s performance.

8. **Insist on detailed minutes.**
   Minutes of board meetings should be kept on file as a permanent record of board actions. Refer to these minutes for a complete and accurate record of topics of discussion, dissenting opinions, new ideas and other activities. See *Robert’s Rules of Order* for what should be included and a recommended format.

9. **Use legal advice when necessary.**
   The job of directing an organization as a board member can be complex and fraught with legal complexities. Make sure your board has access to sound legal advice, and use this service when needed.

10. **Take accountability seriously.**
    Board members are accountable for their actions whether anyone challenges those actions or not. You should keep in mind that what you do and how well you do it matters immediately to many people. Like the CASA program you support, your board should strive for constant improvement.
Section 8

Recruitment of Board and Advisory Committee Members

The process of selecting board or advisory committee members will vary depending on whether the Tribal Court CASA program is governed by its own board of directors, by an umbrella organization or by the Tribal Council. The board of directors selection process is dictated by procedures outlined in the organizational bylaws and will usually be handled by a nominating committee. When there is an umbrella organization or a tribal government involved, the procedures dictated by that entity’s structure will be followed. Although advisory committees will probably not have formal processes such as the nominating committee described below, some of the steps identified will be useful to the program director in recommending new advisory committee members to the governing body and in explaining why those individuals are appropriate advisors.

Steps to Board Member Selection

The following advice to board members and program directors is adapted from Appendix D—Steps in Board Member Selection.

Step 1: Determine what characteristics, skills and relationships the organization needs to function effectively.

Look at the plan of program activities for the coming year and consider what the CASA program is going to look like five years down the road. What informational, financial, managerial and political resources are needed to successfully implement this plan? What are the areas where the board is needed to assist with implementation? If there are alliances to be developed with other tribal programs or funding agencies—or community events and outreach to be developed—what skills and talents do you need on your board? This inventory is especially critical as you rotate members off your board due to term limits (see Section 2—Responsibilities and Functions of the Board).

Step 2: Determine what the organization currently has and what is missing.

Utilizing Appendix E—Board Selection Assessment Grid, list the characteristics you determined were important. Write these items in the appropriate vertical blanks on the upper grid. List current board members down the left side of the grid and evaluate each board member against the desired characteristics. You may find that some members of the board have many of these skills while some have only one. The best results may be obtained by asking board members to evaluate themselves first. Remind them that anything they list may be used as a means of assigning them tasks later. After this self-assessment is done, have the board chair and the program director review it.
At the conclusion of this process, the vertical columns that are marked (or have high numerical scores) represent your areas of strength. The vertical columns that do not have check marks (or have low numerical scores) represent the areas of need for recruitment.

**Step 3: Fill in the blanks.**

Give the completed grid to the nominating committee with instructions to look for candidates who can supply the missing characteristics. This process uses the principle of “targeted recruitment” to identify people who can fill the required characteristics and enhance the board’s effectiveness.

**Additional Strategies for Finding Quality Board Members**

Keep in mind that potential board or advisory committee members are usually busy with job and family commitments, perhaps overextending themselves with other community service efforts. They are usually not interested in board roles that mimic what they do in their everyday occupation. Following are some strategies that can help your CASA board attract quality members.

2. Use former board members in an advisory recruiting capacity.
3. Recruit year-round.
4. Honor board and advisory committee members publicly.
5. Use a self-replacement method. Regularly ask current board members for names of prospective board members.
6. Ask successful former board members to consider serving on the board again.
7. Thank and recognize board members’ employers. If members are employed by the tribe, seek support from the Tribal Council for these volunteers to have administrative—paid—leave time to participate in Tribal Court CASA outreach and meetings.
8. Ask the board chair to follow up personally on each recommendation your board’s nominating committee makes.
9. Seek new board members from the corps of former CASA volunteers.
10. Place a board recruitment notice (drawn from your board member job description) in your CASA newsletter, the tribal newsletter or website and in any free media available in your community.
11. Have your board host a dinner to which each current board member may invite two potential new members.

A sample board member job description can be found in Appendix A.
Statement of Expectations for Prospective Board Members

By discussing the following list with all applicants for board service at the Tribal Court CASA program, the program director, board chair or nominating committee will be able to clarify expectations and find committed board members. Each board member shall:

- Consistently attend regularly scheduled meetings. Three consecutive unexcused absences constitute a member’s unwillingness to serve, and a vacancy will be declared by the chair after due notification of the board member.
- Adhere to Robert’s Rules of Order on parliamentary procedure (or whatever procedures have been agreed upon).
- Give the minority viewpoint a full hearing. It is also important that majority rule prevail and that each board member in the minority fully support the majority board decision once a vote has been taken and recorded.
- Leave any vested interests in particular issues outside board meetings in order to address the general obligations of the CASA program and its clients.
- Serve on at least one committee.
- Be responsible for becoming better informed about the needs of those served as well as board roles and responsibilities. This includes attending appropriate conferences, workshops, training and state and national meetings when possible.
- Strictly adhere to the CASA program’s bylaws and policies as well as National CASA and state CASA association standards.
- Participate in developing funds to sustain program operations.
- Make a personal financial gift to the organization that is significant to the member.
- Participate in program functions including volunteer recruitment and recognition as well as special fundraising events.
Section 9

Training and Development of Board Members

New board members are an integral part of the Tribal Court CASA board team. They will need to be made comfortable with board service and learn about the organization and their new role. Board members must have formal orientation to the CASA program and to board service prior to their first board meeting. Ideally, the program director should conduct this orientation, assisted by existing board members. New board member orientation should include background information and materials about the CASA program’s mission, programs and services as well as its finances and future plans.

In Appendix G is a form that will help the board president and program director cover the most important areas in new board/committee member orientation. The program may wish to add other areas to the orientation such as tribal history and partner agencies that address various needs of children and families.

The education of board members does not end when they receive an orientation to the CASA program. If possible, all members of the Tribal Court CASA board should complete the CASA volunteer training curriculum in order to be familiar with the scope of the program’s work and the issues affecting tribal children.

In addition, ongoing education of board members includes the issues discussed at each meeting. On a regular basis, include 15 minutes in a board meeting to review the annual plan for program development and to determine areas of board development and education that are needed. These are issues that can be scheduled for separate presentations or incorporated into board meetings.

Here are a few topics to consider for ongoing board education:

- What is our liability risk as board members, and how can we minimize it?
- What legal or court regulatory changes and trends are affecting this Tribal Court CASA program?
- What board development topics should we discuss at a retreat?
- How can we improve the board’s recruiting efforts?
- How can we become a better fundraising board for the CASA program?
- How can we improve our board meetings?
- How can our organization more effectively serve the abused and neglected children of our community?

In addition, it will be valuable to have occasional presentations from a CASA volunteer, judge, attorney or former foster child—all of whom can tell the board why the CASA program is
important and give personal statements about how it has made a difference. The board should also periodically review the mission statement at board meetings; it is a good idea to post the statement on the wall where meetings are held.
Section 10

Board and Advisory Committee
Member Rights

**Board Member Rights**

Every member of a board of directors should have some basic expectations of their “rights” as members. They should also have these expectations for others on the board. These rights may or may not be written into a tribal constitution or bylaws. Board members should understand not only what is expected of them but also the true meaning and intent of holding a position on the board. Following are some common, basic expectations:

- To participate in the board’s deliberations and actions—and to feel free to express any concerns—on an equal footing with other members
- To make a motion to the board for considering any relevant new business and to request that a vote be taken in a particular manner, such as by roll call, by a showing of hands, by voice or by secret ballot
- To have access to a complete, up-to-date list of board members and minutes of past meetings
- To request changes in the minutes of the board before they have been approved so that the minutes represent an accurate record of the board’s proceedings
- To request a summary of internal policies and procedures
- To request additional information on any subject or item under consideration
- To ask the chair to clarify the way a meeting is being conducted
- To organize support for or against any matter that is brought before the board for a vote.
- To express opinions about issues or proposed items of business before they are placed before the board for a vote (an exception is when a debate has an established time limit and the member is not recognized during the time allowed)
- To request that any member’s opposition to an item that has been passed by majority vote be included in the minutes
- To move that an action of business be postponed to a specific date
- To ask to be appointed to a committee
- To be informed of the business schedule far enough in advance so that items to be discussed can be properly researched and considered
Advisory Committee Member Rights

Every member of an advisory committee should have some basic expectations of their “rights” as members. They should also have these expectations for other members of the advisory committee. Depending on whether the committee structure calls for formal or informal procedures, the committee may follow Robert’s Rules of Order or choose to operate by consensus. Committee member expectations may be written into policies or procedures of the umbrella organization or the tribal government. At a minimum, the list below should serve as a guide for the true meaning and intent of member participation on the committee. Following are some common, basic expectations:

- To participate in the committee’s deliberations and actions—and to express any concerns—on an equal footing with other members
- To suggest any relevant new issues for discussion
- To have access to a complete, up-to-date list of advisory committee members and contact information
- To request changes in the minutes of the meetings before they have been approved so that the minutes represent an accurate record of the committee’s proceedings
- If formal voting structure is in place, to request that a vote be taken in a particular manner, such as by roll call, by a showing of hands, by voice or by secret ballot
- To request a summary of the program’s policies and procedures
- To request additional information on any subject or item under consideration
- To ask the chair to clarify the way a meeting is being conducted
- To express opinions about issues or proposed items of business before they are placed before the committee for a vote (an exception to this is when a debate has an established time limit and the member is not recognized during the time allowed)
- To move that an action of business be postponed to a specific date
- To ask to be appointed to a committee
- To be informed of the meeting schedule far enough in advance so that items to be discussed can be properly researched and considered
Section 11

Board Officers, Meetings and Committees

Officers
Most boards of directors (and some advisory committees) have at least four officers: chair (or president), vice-chair, secretary and treasurer. If necessary, a board can function effectively with three officers by combining the positions of secretary and treasurer. Regardless of the number of board members, the board as a group should reflect as closely as possible the primary interests they represent. The following board position descriptions outline basic officer responsibilities:

Chair
- Is usually given broad authority for making committee appointments
- Presides over all board meetings and meetings of the executive committee
- As the principal board representative, needs to communicate with the program director frequently
- Monitors annual and periodic reports
- Is the official signer of agreements, checks, etc. for the board

Vice-Chair
- Assists the chair as requested
- Acts as chair in the chair’s absence
- Is sometimes given special assignments by the chair or as specified in the constitution or bylaws
- May be an official signer for the board

Secretary
- Is responsible for maintaining an accurate and permanent record of all board proceedings such as minutes, corporate records and correspondence
- Attests to official documents and may affix corporate seal
- May be an official signer for the board

Treasurer
- Is responsible for all funds and property of the organization
- Supervises the way in which financial records are maintained
- Based on the bylaws, may be required to be bonded along with other persons authorized to make financial decisions and transactions
May be an official signer for the board

**Board Meetings**

Board meetings are held according to a schedule given in the bylaws. Usually there are regular meetings (for example, once every two months) and special meetings that may be convened at other times for specific purposes. It is a board member’s responsibility to keep informed of and take an active part in the organization’s business. Members of an effective board do their best to attend all meetings.

**NOTE**: Advisory committee meetings should be conducted in a similar fashion to board meetings but will follow the guidance suggested in the committee section below. Since the board of directors requires a more formal governing process, the first topic below is specific to boards rather than committees.

A board of directors can act officially *only* in a legally constituted meeting. This means that a quorum must be present (a number that may be established in the bylaws or may be a simple majority). It takes the agreement of a majority of *members present* to make a decision on any matter coming before the board that requires board approval. Agreement among board members at such meetings must be reached according to rules and procedures outlined in the bylaws, frequently utilizing *Robert’s Rules of Order*.

Many tribal and non-tribal organizations have written into their constitution or bylaws that their meetings will abide by *Robert’s Rules of Order*. If this is the case, board members need to be acquainted with what Robert’s Rules actually are. There is insufficient space in this guide to accomplish that task. Although the official text is in excess of 700 pages, Robert’s Rules as used by most boards can be learned in a fairly short time. Refer to rulesonline.com for the full public domain text, or buy the latest edition from robertsrules.com.

*Roberts Rules of Order* is the basic handbook of meeting operation for most organizations and clubs. The purpose of *Robert’s Rules of Order* is simple: It is an effort to establish and maintain both *fairness* and *order* within a meeting. When it is used properly, people will feel that they have had an opportunity to voice their opinions and that they have been heard. For additional information on and the full text of *Robert’s Rules of Order*, visit robertsrules.com or rulesonline.com.

**Committees**

Most boards delegate or assign some of their work to committees made up of a small number of board members—and in many cases community members not on the board—who have special interest or expertise in the subject area for which their committee is responsible. This section addresses how an advisory committee, standing committees and subcommittees should function under a CASA board of directors. When the Tribal Court CASA program is under the governance of the Tribal Council or an umbrella organization, the advisory committee will function under the committee rules for that structure.
There are several good reasons for having committees:

- To divide the workload
- To develop expertise among members
- To permit decision-making at times between regular meetings of the entire board
- To allow specific topics to be explored in depth and in a practical and efficient way

Tribal Court CASA program bylaws may establish standing committees. These have a permanent status. Some examples of typical standing committees are:

- **Executive Committee.** Conducts board business when the full board is not in session within guidelines and policies set by the board.
- **Personnel Committee.** Develops and recommends to the full board personnel policies and procedures within the organization. May also review grievances and evaluations of program director.
- **Finance Committee.** Reviews program fiscal operation and makes detailed studies of proposed budgets.
- **Nominating Committee.** Solicits and gathers names of potential board members, recruits and screens candidates before nominating them to the full board.
- **Resource Development Committee.** Drives the fundraising process in collaboration with the program director (and development director in larger programs).

Also included in most bylaws are provisions allowing the board to form other committees for special purposes. Special (ad hoc) committees tend to have a limited life—they are designed to accomplish a specific task. Once a special committee has made its report and the board acts upon it, the committee is dissolved.

**Effective Committee Characteristics:** Every committee develops its own pattern for meeting its responsibilities, but there are some common characteristics seen in effective committee members. Note that the chair exerts a major influence in setting the tone for committee work. Members:

- Have good leadership skills and interact well with others.
- Are loyal to the committee and its leader.
- Have a high degree of confidence in each other.
- Share common values and goals.
- Are highly motivated.
- Are mutually supportive.
- Accept the committee’s expectations of them as members.
- Provide mutual help when needed.
- Communicate well with each other.
- Feel secure in making decisions.
- Are willing to stretch themselves to accomplish tasks.
Section 12
Assessment of the Program Director, Board and Program

One of the most important responsibilities of the board is to assess the progress and health of the CASA organization. This requires appraisals of the performance of the program director, the board and the program itself. Successful growth and stability of a nonprofit organization depend on taking these periodic assessments seriously.

There are a number of National CASA resources available to assist programs in self-assessment, assessment of the director and assessment of the board. General materials in *Achieving Our Mission* may be helpful as well as documents provided in Appendices N-T of this manual. National CASA staff can also provide technical assistance with these issues.

**Assessment of the Program Director**

This section provides direction to boards seeking to fulfill their responsibility to assess their program directors. The relationship between the governing board and the program director is complex. While the board of directors has final legal authority for the well-being of the organization, the program director is the agent of the board, appointed to carry out its policies and decisions. In many young organizations, board members (as volunteers) work closely with staff; in older—and usually larger—organizations, the program director is a professional with more background and knowledge than lay volunteers.

While assessments are often made when the board reviews the program director’s salary, the primary intent of assessment is far broader and more important. It is preferable to separate the two purposes of reviewing salaries and assessing the organization’s progress toward its goals through the contributions of the program director.

The immediate purpose of assessment is to appraise the effectiveness of the program director’s performance and thereby strengthen and support the program director. Good program directors are not easy to find. They need to be nurtured and encouraged. Turnover at this level is costly to any organization. Every effort should be made to build up and keep good program directors. To do this, assessment of strengths and weaknesses is indispensable, with specific expectations for improved performance, if needed, as well as opportunities for further development.

If properly done, the assessment will be a source of comfort and strength to the program director. However, if the program director consistently fails to meet the expectations of the board and the needs of the program, the director can be a disastrous liability and should be replaced as promptly as possible.
Assuming that the organization has goals and objectives in place, and that the director is aware of them, the assessment of the director’s achievements toward those goals will also serve as preliminary assessment of the organization. If these measurements are not available, or the director was not informed about them, they should be put in place before any assessment.

**Ways to Assess the Program Director**

Different forms of assessment may be used at different times. Each Tribal Court CASA program board must decide which procedure will best serve its need to develop information that will ultimately promote the growth and success of the program. In general, methods of assessment of the program director fall into the following two categories, and both should be used.

**Intermittent or Continuous Observation of the Director by the Board**

This is a natural process in small local organizations that have board members, particularly the chair, actively involved and working closely with the program director. If things begin to go wrong, it is relatively easy to identify the cause and make corrections; or if the cause is attributable to external circumstances outside the director’s control, the director is not held responsible.

**Deliberate Periodic Assessment of the Program Director by the Board**

In more developed programs with adequate paid staff, board members have less opportunity to observe directly the program director’s performance. In smaller programs too, whether due to distance, schedules, infrequent contact, or lack of regular participation, sometimes board members have less opportunity to observe directly the director’s performance. A small committee of the chair and one or two other board member making the periodic assessment should reflect on the director’s performance over the past six months. This committee should consult other board members, particularly the chairs of standing committees, and then answer a set of questions by consensus of the group. The assessment committee should also talk directly with the program director. After all, this is a matter of give and take rather than a document handed down from the governing body to the program director. Once the assessment has been completed, it should be shared in confidence with the full board and with the program director.

Overall, results are what count—not short-term results at the expense of long-term health, but a combination of the two. The criteria by which any good program director would choose to be judged include good organizational and program staff skills, fundraising and public relations skills, the capacity to work well with people and to persuade them to work for the organization, the capacity to distinguish the important from the trivial, vision for the future and the capacity to hold that vision while preoccupied with short-term problems. See Appendix N—Program Director Assessment Form.

**Common Program Director Assessment Errors**

There are seven common errors in assessing the program director’s performance:

1. Halo effect—preoccupation with one outstanding quality
2. Personalization—tendency to rate personality traits above performance
3. Subjectivity—substituting personal likes and dislikes for objective appraisal of performance
4. Leniency tendency—reluctance to rate unfavorably
5. Severity tendency—inclination to rate as unfavorably as possible
6. General tendency—avoidance of judgment by picking middle ground ratings
7. Dramatic incident effect—judgment on the basis of a single incident, ignoring total performance

**Reasons for Board Members’ Reluctance to Assess the Director**

Assessment should normally be a constructive and helpful process, but it can be traumatic. Suppose the “report card” is poor? This result can lead to internal convulsions. It may seem easier to board members to go along with a failing incumbent program director than to undertake the considerable effort and disruption of seeking a new one. If the board does not examine the program director’s performance too closely, the board will not have to face uncomfortable decisions. This is the ostrich syndrome, and the results can be disastrous. Reasons for reluctance to assess the director include the following:

1. Confusion over the organization’s goals
2. Lack of clarity regarding the program director’s responsibilities
3. Uncertainty about the proper criteria to be used in assessment (these elements must be addressed in advance of the assessment process)
4. Reluctance to be in the role of evaluator—based on cultural issues or values about being judgmental
5. Reluctance to commit the time and energy necessary for a genuine evaluation of goals and performance (in the long run a costly evasion of responsibility)
6. Failure to understand the board’s responsibility or uncertainty about the way to exercise that responsibility
7. Feeling obligated to support the program director under all circumstances, or because of relationships outside the workplace (some might argue that the relation of board to program director is too intimate to permit impersonal evaluation; it would destroy the “marriage”)
8. Fear of confrontation

**The Heart of the Matter**

One of the board's most significant responsibilities is to support the program director and review her or his performance. No single perfect formula or rating instrument exists for foolproof assessment. Many rating lists used to evaluate program directors are inadequate. The instrument must take into account the long view and recognize that the whole is greater than its parts.

**The three cardinal rules for program director assessment are:**

- Do it
- Do it in a humane and sensitive way
- Make it a constructive, regular exercise for the program director and the board, which acts as supervisor
Assessment of the Board

Examining the quality of the program also requires the board to periodically assess its own effectiveness and involvement with program goals. National CASA has developed several tools that can assist the Tribal Court CASA program in this assessment. One method of board assessment is to review Appendix J—Board and Staff…Who Does What? to determine whether the identified functions and tasks are being appropriately handled as previously decided. The board should also review its makeup to ensure that members of the board represent the skills, talents and relationships needed to make the program successful. Appendix C—Board Selection Characteristics, Appendix E—Board Selection Assessment Grid and Appendix A—Sample Board Member Job Description are useful tools to review the representation of the board and its involvement with program functions. Appendix O is a sample form for Board/Committee Self-Assessment. Appendix P provides a Committee Analysis Form useful with the full board or individual committees. Finally, Appendix S—Checklist for Effective Board Meetings is helpful in assessing the productivity of the board.

Assessment of the Organization

The ultimate purpose of any assessment is to make sure that the organization reaches its mission and goals in the most efficient and effective way possible given its circumstances. This presupposes that the goals are agreed upon. Because goals can change with time and with changing circumstances, however, assessment really requires a review of the purpose for which the organization exists. Although assessment of organizational success is an ongoing part of day-to-day operations, it is also valuable to step back and review components of the Tribal Court CASA program.

Requesting feedback from clients, volunteers and collaborators as each case is closed is one method of assessing effectiveness. Providing simple evaluation forms at training and community outreach events allows the program to collect specific information assessing these activities. Furthermore, addressing basic questions as part of a strategic planning process (or in updating the strategic plan) assists the program in making the feedback and event-specific evaluations an integral part of the organizational assessment.

Some questions to assist in assessment of the organization are based on Peter Drucker’s self-assessment tool:

1. What is our mission?
2. Who is our customer/client?
3. What have been our results?
4. What is our plan?

An evaluation of the overall effectiveness of the program, from its financial management practices to its training of volunteers, not only enables but forces board and staff to examine the quality and value of the program. It forces the organization to be concerned not only with how to do things more effectively but also with why certain practices are followed and what happens as a result. (See Achieving Our Mission for more information on planning and evaluation.)

National CASA’s quality assurance system is designed to encourage, inspire and assist programs in achieving their greatest potential and delivering high-quality advocacy on behalf of the children they represent.
serve. Recognizing the diversity of the CASA/guardian ad litem (GAL) network and the need for flexibility in the system, the quality assurance system assesses program operations based on National CASA’s Standards for Local CASA/GAL Programs. All CASA programs are required to demonstrate compliance with these standards. The primary purpose of quality assurance is to support National CASA’s vision of providing quality volunteer representation for children—and ultimately to provide each abused or neglected child in the court system a safe, permanent and nurturing home. It is integral to the National CASA mission that member programs and programs calling themselves CASA meet these standards. Additionally, the quality assurance system helps identify program strengths, challenges and ways to promote program growth and sustainability. For more detail, see Appendix T—National CASA Quality Assurance System.

National CASA has developed several other tools to assist programs with assessment, which can be found in Appendix Q—CASA Program Satisfaction Survey and Appendix R—Program Assessment by Volunteers.
Appendices

The documents included in these appendices are samples from local Tribal Court CASA programs as well as from the National CASA Association. These documents are not meant for exact duplication by programs. We do however encourage and invite you to review and adapt them to meet your Tribal Court CASA program’s needs.

A. Sample Board Member Job Description
B. Sample Advisory Committee Member Job Description
C. Board Selection Characteristics
D. Steps in Board Member Selection
E. Board Selection Assessment Grid
F. Application for Appointment to the Board or Advisory Committee
G. Board Member Orientation Checklist
H. Sample Board or Advisory Committee Member Code of Ethics
I. Sample Conflict of Interest Policy
J. Board and Staff…Who Does What?
K. Sample Internal Controls Policy
L. Website Resource List
M. Sample Memorandum of Agreement Between Tribe and CASA Program

ASSESSMENT TOOLS:
N. Program Director Assessment Form
O. Board/Committee Self-Assessment
P. Committee Analysis Form
Q. CASA Program Satisfaction Survey
R. Program Assessment by Volunteers
S. Checklist for Effective Board Meetings
T. National CASA Quality Assurance System
Appendix

A. Sample Board Member Job Description

The following is a sample job description for members of the board of directors:

**BASIC FUNCTIONS**

- To determine policies, procedures, and regulations for the conduct of the organization.
- To raise funds to finance the organization and its programs.
- To monitor organizational performance.

**RESPONSIBLE TO**

- President of the board of directors

**RESPONSIBILITIES/POWERS**

- Establish policies for administering the program and services that are in harmony with the purpose of the organization.
- Employ and evaluate the performance of the chief executive.
- Secure funds required for current expenses by mobilizing volunteers and staff to actively participate in fundraising efforts.
- Ensure that the financial affairs of the organization are conducted on a responsible basis in accordance with established policies.

**PRINCIPAL DUTIES**

- Prepare for, attend, and participate in board meetings.
- Attend meetings of standing committees, as well as any special ad hoc committees, of which one is a member.
- Cultivate sources of financial support.
- Assume board leadership responsibilities as requested and as possible.
- Represent the organization at community events, to other organizations, and to private individuals. Speak proudly and positively.
- Be informed about the organization’s programs, policies, and services.
- Be informed about the needs of the community and the organization’s constituents.
- Annually evaluate organization’s performance and maintain progress toward long-range goals.
- Provide referrals for potential board members, volunteer prospects, and fundraising possibilities.

**TERM**

- Three years
Appendix

B. Sample Advisory Committee Job Description

Pawnee CASA Advisory Board
Job Description
Rules and Procedures for Pawnee CASA Advisory Board

Mission Statement
Our mission is to speak for the best interest of abused and neglected children in Pawnee County court and the Pawnee Nation Court. We promote and support volunteer representation for the children in an effort to provide each child a safe, permanent nurturing home.

Purpose
To aid and support the Pawnee CASA Project in efforts to advocate for abused and neglected children and to educate the community regarding its responsibility for children involved in the deprived court process.

Membership
The Advisory Board of Pawnee CASA shall consist of not more than ten (10) members. The Advisory Board will consist of members with solid and committed involvement to the Pawnee CASA Project.

• Terms
Members shall serve for three-year (3) terms and may serve three (3) consecutive terms.

• Ex-officio Members
The Executive Director of United Community Action Program and the CASA Project Director shall serve as the ex-officio member of the Advisory Board.

• Diversity
Members shall be reflective of the children and community it serves, in terms of gender, ethnicity, cultural and socioeconomic backgrounds and backgrounds and physical abilities. Advisory board will comply with the National CASA’s Policy on Diversification.

• Screening
Members shall sign releases of information for background checks and successfully complete screening requirements.

• National CASA Association Standards and Code of Ethics
Members shall adhere to National CASA Association Standards and Code of Ethics.

• Conflict of Interest
Members shall adhere to the program policy concerning conflict of interest.

• Vacancies
Recommendations of any member of the advisory board shall fill any vacancy occurring in the Advisory Board. A member elected to fill a vacancy shall serve for the unexpired term of his or her predecessor.

• Resignation and Absences
Resignation- Any member may resign at any time by giving written notice to the Chairman of the Advisory Board who will announce the resignation to the full Advisory Board at the next regular meeting. Such resignation shall take effect at the time specified.
Absences- Any member who fails to attend (3) consecutive meetings without notice shall be deemed to have tendered his or her resignation from the Advisory Board; provided, however, the Advisory Board shall have the authority to accept or reject such resignation.
Duties
The Advisory Board shall act in an advisory capacity to the Project Director of the Pawnee CASA Project and the UCAP Board of Directors. All Advisory Board members will sign the Pawnee CASA Project Statement of Commitment. Duties shall include:

(a) Provide at least one member to sit on the UCAP Board of Directors in order to provide the support and connection with the governing board;
(b) Promote the CASA Program mission within the community;
(c) Develop and implement fund development plan and subsequent fundraising activities for the benefit of the CASA program;
(d) Advise and recommend program policies to the UCAP Board of Directors for approval;
(e) Monitor and evaluate program operations and effectiveness;
(f) Take under advisement external and internal grievances as per program policy.

Officers
Officers of the Advisory Board shall consist of a Chairman and Secretary. Officers shall be elected by a majority vote of the Advisory Board. These officers shall serve one (1) year and may succeed themselves not more than three (3) consecutive times.

Duties of officers shall include:

(a) Chairman- The Chairman shall preside at all meetings of the Advisory Board and serve as ex-officio member of all committees.
(b) Secretary- the secretary shall keep correct notes of the Advisory Board meetings.

Meetings
The Advisory Board shall meet at least quarterly per year and anytime as requested by Advisory Board.

Regular meetings- The Chairman shall determine regular meeting times and dates.

Special Meetings- Special meetings may be called by or at the request of the Chairman or any three (3) members. Noticed shall be given 24 hours in advance. Notice shall include an agenda of matters to be considered.

Committees
The Advisory Board may convene committees or study groups on an as needed basis by a majority vote of the members. The Chairman shall designate members to serve on the committee and appoint committee chairpersons. These committees or study groups may consist of persons who are not members of the Advisory Board; however, these committee or study groups, members shall act in an advisory capacity to the Board.

Amendments
These Rules and Procedures may be altered, amended or repealed and new Rules and Procedures adopted by the vote of a majority of the Advisory Board.
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<tr>
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<td> Business / Labor</td>
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<td> Public Relations</td>
<td> Parents / Clients</td>
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<td> Education</td>
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<td> Community Volunteers</td>
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<td> Outlying Geographic Areas</td>
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<td> Funding Community</td>
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<td> Old Guard in Community</td>
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<td> Corporations</td>
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<td> Small Businesses</td>
<td> Starting New Projects</td>
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<td> Solicitation of Individuals</td>
<td> Education and Training</td>
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<td> Endowment Funds</td>
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<td> Ability to Ask for Donations</td>
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<td> Self-Generated Revenue</td>
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<td> Planning of FR Effort</td>
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<td> Capital Campaign</td>
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<td> Investments</td>
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Appendix

D. Steps in Board Member Selection

Step 1: “What characteristics, attitudes, traits, or skills does the organization need to function effectively?”
To answer this question, look at the plan of activities for the upcoming year and ask yourself what resources (informational, financial, managerial, and relational) will be needed to successfully implement the plan. Determine in what areas the board could best assist with implementation. Think also in terms of what you want your board to look like: in what ways should it represent the community in which you operate? Utilize the Board Selection Characteristics sheet for additional ideas. Think of terms of what you would like to see if you had a perfect board of directors.

Step 2: “What does the organization currently have? What is missing?”
Utilize the Board Assessment Grid (Appendix E). Of the desired characteristics, determine which should be present in all board members (minimum commitment of time, willingness to make personal donation), which should be present in some particular positions (board chair: public speaking, leadership skills; fundraising chair: ability to ask for money), and which might be present in any board member (as long as someone has them). Write these items in the appropriate vertical blanks on the upper grid.

List current board members down the left side of the grid. Evaluate each board member against the desired characteristics, giving credit if, and only if, the board member both has the desired trait and makes a commitment to use it for the organization. You can do the evaluation either with simple checkmarks (a mark for a ‘yes’) or by giving a numerical score (1 - 5) evaluating the extent of the contribution.

You can get the best results in this evaluation by first asking board members to assess themselves. Remind them that anything they list may be used as a means of assigning them work. After this self-assessment is done, have the board chair and executive director review it.

At the conclusion of this process, the vertical columns which are marked (or have high numerical scores) will represent your areas of strength. The vertical columns which do not have check marks (or have low numerical scores) will represent the areas of need for recruitment. Do not be surprised the first time you utilize this technique to discover that you are high over-represented in some categories and totally deficient in many
others. This is a natural result of the cloning recruitment process which many groups utilize.

**Step 3: “Fill in the blanks. Remove the dead wood.”**

Give the completed grid to the nominating committee with instructions to look for candidates who can supply the missing characteristics. Utilize the principles of targeted recruitment to identify people with the required characteristics.

If openings must be created on the board for these new members, look at the horizontal columns to identify current board members who are contributing least to the organization. These might be people who do not have the skills the organization needs at this time, or they might be people whose skills are over-represented on the board at the current time.

Once possible candidates are identified, utilize the grid to determine which can contribute the most to the board, and then ask these persons first.

You may also want to assess the resources that the staff contribute. Analyze their strengths and eliminate some desired characteristics from the board list.

**Step 4: “Recruit”**

The grid is actually the beginning of a job description for the new board. If you are attempting to fill out the strengths of the board by seeking someone with skills in public relations, then in the recruiting interview with this person you can discuss the needs and plans of the agency in this area, since it is clear that the new person will be involved in implementing these plans. Recruit on the basis of the actual work that the person will be doing on the board, not just on ‘becoming a member’. If you let them know in advance what you want and expect them to do, they are more likely to actually attempt to do it later.
### E. Board Selection Assessment Grid

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<tr>
<th>BOARD ASSESSMENT GRID</th>
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- BOARD CHAIR
- FR COMM CHAIR
- MANAGEMENT & ADMINISTRATION
- FUNDRAISING
- PROGRAM EXPERTISE
- COMMUNITY REPRESENTATION
Appendix

F. Application for Appointment to the Board or Advisory Committee

Name: ____________________________  Home Telephone: ____________________________
Address: __________________________  State/Zip Code: ____________________________
City: ____________________________  State/Zip Code: ____________________________
Occupation: __________________________  Work Telephone: ____________________________
Email: ____________________________  FAX: ____________________________

Please check the skills you can contribute to our board:

- accounting
- education
- investment
- planning
- fundraising
- knowledge of CASA service
- technology
- volunteer at CASA
- community relations
- Public speaking
- program staff
- CASA advocacy
- other ____________________________
- other ____________________________

On what other boards have you served?

What other community activities have you participated in?

What is your interest in CASA board service?

What is your interest in the CASA program?

What is your understanding of the CASA program’s mission?

Will you regularly attend board meetings? ☐ Yes ☐ No

Do you have time to give to the CASA program? ☐ Yes ☐ No

If asked, would you consider making an annual financial gift to the CASA program?

☐ Yes ☐ No

Signature ____________________________  Date ____________________________
### G. Board Member Orientation Checklist

<table>
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<th>BOARD MEMBER NAME:</th>
<th>ORIENTATION DATE:</th>
<th>DATE COMPLETED</th>
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<tbody>
<tr>
<td><strong>1</strong> Introduce the board member to the organization:</td>
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<td>- Outline the mission of organization</td>
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<td>- Explain the role of the organization</td>
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<tr>
<td>- Other</td>
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| **2** Outline board member roles and responsibilities: | | |
| - The board’s role versus the administration’s role | | |
| - Board committees—what are they? | | |
| - Attendance at both board and committee meetings | | |

| **3** Give a tour of the organization: | | |
| - Director’s office, other offices, meeting rooms | | |
| - Introduction to staff, volunteers, etc. | | |

| **4** Supply board member information: | | |
| - Give copy of board handbook | | |
| - Review board handbook with board member | | |
| - Go over minutes of previous board meeting (and other meetings if pertinent) | | |
| - Prepare and hand out a calendar that includes: | | |
|   - Dates of board meetings | | |
|   - Dates of committee meetings | | |
|   - Dates of fundraisers | | |
|   - Other important dates | | |
| - Give copy of current newsletter, plus back issues if available | | |

| **5** Introduce board member to the following people: | | |
| - President of the board (who should do some of the orientation) | | |
| - Chair of board committees (who should extend an invitation to visit their committees) | | |
| - Other board members | | |

| **6** Collect the following information from the board member: | | |
| - Current name, mailing address, home and work phone numbers | | |
| - Best time to contact them | | |
| - Best times for them to attend meetings | | |
| - Signed commitment to serve on the board | | |
| - Signed confidentiality pledge | | |
| - Other items deemed necessary | | |
Appendix

H. Sample Board or Advisory Committee Member Code of Ethics

Board members have an obligation to do more than just meet legal standards. Board members are expected to meet standards of conduct as well. Many boards adopt codes of ethics to emphasize this point to their members. The following code of ethics is a good example to start from. Your customized version of the code should be signed by all members of your Tribal Court CASA board team.

As a member of this board I will:

- Represent the interests of all people served by this CASA program and not favor special interests inside or outside the CASA program.
- Not use my service on this CASA board for my own personal advantage or for the advantage of my relatives, friends or business acquaintances.
- Keep confidential information confidential.
- Approach all board issues with an open mind, prepared to listen and respect the opinions of my board colleagues and ready to make the best decisions for everyone involved.
- Do nothing to violate the trust of those who elected or appointed me to the board or of the individuals we serve.
- Focus my efforts on the mission of the Tribal Court CASA program and not on my personal goals.
- Never attempt to exercise authority as an individual board member except when acting in a meeting with the full board or as I am delegated by the board.
- Declare conflicts of interest between my personal life and my position on the board, and abstain from voting if appropriate.
- Never interfere with the duties of the program director, or undermine his or her authority with CASA employees or volunteers.

Member’s Signature ___________________________ Date ___________________________
Appendix

I. Sample Conflict of Interest Policy

Policy guidelines to avoid material Conflicts of Interest involving Board, staff or volunteers.

No trustee, staff member or volunteer may participate in any decision making process when said person or members of her or his immediate family, or any party, group or organization to which said person has allegiance, may have an interest that may be seen as competing with the interests or concerns of the CASA program. Furthermore, no trustee, staff member or volunteer may have direct or indirect financial interest in the assets, leases, business transactions or professional services of the CASA program.

Trustees and staff members must weigh carefully all circumstances in which there exists the possibility of accusations of competing interest. Trustees and staff shall disclose to the board any possible conflict of interest and any and all relevant information pertaining to the possible conflict and may not participate in any decision-making process related to the matter in which there may be a conflict of interest. Further, trustees and staff shall excuse themselves from the room when there is any deliberation and decision on the matter of interest.

The minutes of the board and/or committee meetings shall reflect that the conflict of interest was disclosed and that the interested person was not present during the deliberation and decision on the matter of interest. In the event of possible conflict of interest in a decision, making process at the level of management, the Executive Director shall report to the board in writing that the conflict of interest was disclosed and that the interested person was not in the room and did not participate in the final deliberation and decision on the matter of interest.

Notwithstanding the above, the Board of Trustees may waive the foregoing restrictions and allow a trustee or staff member with a conflict of interest to join in such portion of the discussion on the matter of interest as the board deems appropriate.

When there is doubt as to whether a conflict of interest exists, the matter shall be resolved by a vote of the executive committee, excluding the person(s) who may have the possible conflict.

The policy shall be reviewed at the first meeting of duly elected trustees, annually with all staff and with each new member of the staff at the time of his or her hire. Copies of this policy shall be given to each trustee and staff member.

Approved 2/02
Appendix

J. Board and Staff…Who Does What?

GOAL: To improve board-staff relationships by coming to consensus on who has primary responsibility for various organizational tasks.

SUGGESTIONS: Read each task and determine who has primary responsibility for doing it; write a 1 in that column. If someone/group has strong secondary responsibility, or the task/decision shouldn’t be made without input from them, put a 2 in that column.

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<thead>
<tr>
<th>FUNCTION / TASK</th>
<th>RESPONSIBILITY</th>
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<tr>
<td></td>
<td>1 - PRIMARY</td>
</tr>
<tr>
<td></td>
<td>2 - SECONDARY/INPUT AND ASSISTANCE</td>
</tr>
<tr>
<td></td>
<td>BOARD</td>
</tr>
</tbody>
</table>

I. PLANNING
1. Determine basic organizational purpose and goals
2. Determine which community needs should be met and to what extent
3. Determine categories of services to be provided
4. Develop long-range plans for the organization
5. Develop programs to meet identified needs
6. Set specific program objectives
7. Establish funding level needed to run organization
8. Develop program evaluation system

II. POLICY
1. Provides background information necessary for policy decisions
2. Gives input to policy
3. Makes policy

III. FUNDRAISING
1. Develop fundraising plan
2. Develop funding sources
3. Solicit funds and other resources
4. Evaluate fundraising success

IV. FINANCIAL MANAGEMENT
1. Prepare agency budget
2. Monitor how funds are spent on a day to day basis
3. Monitors total funding picture
4. Hire a CPA for annual audit
5. Do bookkeeping
<table>
<thead>
<tr>
<th>FUNCTION/TASK</th>
<th>RESPONSIBILITY</th>
<th>BOARD</th>
<th>EXEC. DIR./ADMIN.</th>
<th>STAFF</th>
</tr>
</thead>
<tbody>
<tr>
<td>V. PERSONNEL</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>1. Develop agency personnel policies</td>
<td></td>
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<tr>
<td>2. Recruit, screen, hire, supervise, and terminate:</td>
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</tr>
<tr>
<td>a. executive director</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. paid staff</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>c. board members</td>
<td></td>
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<td></td>
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<tr>
<td>d. direct-service volunteers</td>
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<tr>
<td>3. Provide training and development opportunities for:</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>a. executive director</td>
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<tr>
<td>b. paid staff</td>
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<tr>
<td>c. board members</td>
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<tr>
<td>d. direct service volunteers</td>
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<tr>
<td>4. Develops evaluation procedures and evaluates the performance of:</td>
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<td></td>
</tr>
<tr>
<td>a. executive director</td>
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</tr>
<tr>
<td>b. paid staff</td>
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<tr>
<td>c. board members</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. direct service volunteers</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td>VI. PUBLIC RELATIONS</td>
<td></td>
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</tr>
<tr>
<td>1. Develop a formal public relations plan</td>
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<tr>
<td>2. Implement the public relations plan</td>
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<tr>
<td>3. Serve on the boards of other community agencies</td>
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<tr>
<td>4. Maintain contact with state, regional, and national organizations with similar interests</td>
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<tr>
<td>5. Establish method of assessing management practices which impact “internal” public relations</td>
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<tr>
<td>VII. BOARD RECRUITMENT</td>
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<td></td>
</tr>
<tr>
<td>1. Develop board nominating procedures</td>
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<tr>
<td>2. Suggest potential members to the nominating committee</td>
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<tr>
<td>3. Develop board orientation and training</td>
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</tr>
</tbody>
</table>
Policy Making Boards

The following key is provided for policy making Boards. It reflects accepted practice and delineates responsibilities of the Board of Directors / Trustees and paid staff.

When the organization has a voting electorate or membership, they ultimately determine the Board’s actions. Some of the responsibilities indicated as primary to the executive might be delegated to other staff in a large organization. In an organization without paid staff, the Board members may perform some of the functions indicated for the executive or staff.

Some tasks have not been included in the key, because the responsibility is based on agreements between Board and staff depending on the situation.

We haven’t indicated responsibility for advisory councils, because their responsibilities are set directly by the individuals or groups which have commissioned them.

<table>
<thead>
<tr>
<th>TASKS</th>
<th>DEGREE OF RESPONSIBILITY</th>
<th>BOARDS</th>
<th>EXECUTIVE DIRECTOR</th>
<th>STAFF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning</td>
<td>Primary Secondary</td>
<td>1, 2, 3, 4</td>
<td>5, 6, 7, 8</td>
<td>5, 6, 7, 8</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>2, 3, 4</td>
<td></td>
</tr>
<tr>
<td>Policy</td>
<td>Primary Secondary</td>
<td>3</td>
<td>1, 2</td>
<td>1</td>
</tr>
<tr>
<td>Fundraising</td>
<td>Primary Secondary</td>
<td>1</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Financial Management</td>
<td>Primary Secondary</td>
<td>3, 4</td>
<td>1, 2</td>
<td>5</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>Personnel</td>
<td>Primary Secondary</td>
<td>1, 2a, 2c, 3a, 3c, 4a, 4c</td>
<td>2b, 3b, 4b</td>
<td>2d, 3d, 4d</td>
</tr>
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<td></td>
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<td>3</td>
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<td></td>
<td>Secondary</td>
<td>1, 2a, 2c, 3a, 3c, 4a, 4c</td>
<td>2b, 3b, 4b</td>
<td>2d, 3d, 4d</td>
</tr>
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<td>3</td>
<td></td>
</tr>
<tr>
<td>Public Relations</td>
<td>Primary Secondary</td>
<td>4</td>
<td>1</td>
<td>1, 2</td>
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<td>4</td>
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<td></td>
<td>Secondary</td>
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<td>1, 2, 4, 5</td>
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<td></td>
<td>1, 2</td>
</tr>
<tr>
<td>Board Recruitment</td>
<td>Primary Secondary</td>
<td>1, 2, 3</td>
<td></td>
<td>2, 3</td>
</tr>
</tbody>
</table>

* The numbers correspond to the numbered tasks in worksheet
Appendix

K. Sample Internal Controls Policy

For CASA programs

I. GENERAL

- The board of directors is responsible for authorizing all bank accounts and check signers.
- Financial institutions where CASA accounts are maintained are notified on an annual basis of any changes in check signers, following the transition of officers or changes in staff with check signing responsibilities.
- Financial reports shall be presented to the board of directors for review on a monthly basis.
- An annual financial review or audit, depending upon the size of the budget, will be conducted by a qualified outside auditor.
- Applicable financial and administrative guidelines relating to specific grant funding shall be followed.

II. CASH RECEIPTS

- Employees handling cash will have the necessary knowledge and skills to perform the job and will be carefully supervised.
- Cash receipts must be deposited within 3 days of receipt or when the deposit amount exceeds $2,000, whichever comes first.
- Incoming checks must be restrictively endorsed, “for deposit only” with the organization’s account number, when received.
- Incoming cash must be counted and receipts/bank deposits developed by two or more persons authorized to perform these functions.
- Records of cash received must be totaled and initialized by authorized employees.
- Cash collection documentation totals must be compared and reconciled to bank deposit receipts on a regular basis.
- Bank deposit receipts must be compared and attached to the original bank deposit slips.
- Adequate physical controls must be maintained over cash receipts from the time of receipt to deposit in the bank.

III. CASH DISBURSEMENTS

a. Check Authorization

- The director must provide approval for all disbursements.
- Supporting documentation must accompany checks when presented for signature.

b. Checks

- All disbursements must be made by check.
- Only pre-numbered checks shall be used and always in sequence.
- Signing of blank checks is strictly prohibited. Checks must be made payable to specific payees based upon appropriate documentation; and never to “cash” or “bearer”.
- Prior to preparing checks, receiving reports should be compared to vendor invoices for accuracy. Checks must be prepared from vendor invoices only and not from a vendor statement.
- Signature stamps may never be used to sign checks.
- Dual signatures are required for all checks, including any of two of the following signatures: president, vice president, secretary, treasurer, CASA director.
- Access to blank checks must be limited to persons authorized to prepare checks. Blank check stock must be locked in a secure place when not in use.
- Any voided/spoiled checks must be marked “Void”, shredded with the signature portion removed and retained in a secure place.
c. Bank Reconciliations

- Bank accounts must be reconciled by the person responsible on a monthly basis and reviewed by the director.
- The director must receive the bank statements, including canceled checks, etc., unopened from the bank. All check numbers must be accounted for.
- Checks outstanding over 90 days must be periodically investigated, with payment stopped and an entry made restoring such items to cash if appropriate.

IV. TRAVEL AND EXPENSES

- Employees must submit a detailed expense record, with supporting documentation, in order to be reimbursed for expenses; and initialed for approval by the director prior to payment.
Appendix

L. Website Resource List

Alliance for Nonprofit Management .................................................................allianceonline.org
American Management Association ..............................................................amanet.org
Board Builders ................................................................................................boardbuilders.com
BoardSource ....................................................................................................boardsource.org
Center for Creative Leadership ......................................................................ccl.org
Council on Foundations .................................................................................cof.org
Greenleaf Center for Servant-Leadership .....................................................greenleaf.org
Independent Sector ..........................................................................................independentsector.org
Leader to Leader Institute (Peter F. Drucker) ..................................................pfdf.org
Maryland Association of Nonprofit Organizations ......................................mdnonprofit.org
National CASA Association .........................................................................casanet.org and nationalcasa.org
National Council of Juvenile and Family Court Judges ...............................ncjfcj.org
National Council of Nonprofit Associations ...............................................ncna.org
Nonprofit Risk Management Center ..............................................................nonprofitrisk.org
Management Assistance Program for Nonprofits ........................................mapfornonprofits.org
Office of Juvenile Justice and Delinquency Prevention ..................................ojjdp.ncjrs.org
Office for Victims of Crime ............................................................................ojp.usdoj.gov/ovc
Robert’s Rules of Order Online .....................................................................rulesonline.com
Appendix

M. Sample Memorandum of Agreement Between Tribe and CASA Program

Agreement to Sub-Grant Between Oglala Sioux Tribe and the Oglala Lakota CASA Program

This agreement is by and between the Oglala Sioux Tribe and the Oglala Lakota CASA Program. This agreement shall be effective as of the effective date of the grant. In this agreement, the Oglala Sioux Tribe - which is the party sub-granting - shall be referred to as “OST,” and the Oglala Lakota CASA Program - which is the party receiving the grant funds and responsible for carrying out the grant objectives - shall be referred to as “CASA.” The contact for OST is Bart Merdanian, Tribal CIRCLE Coordinator at 605-867-2646. The contact for CASA is Arlana Bettelyoun, Director, at 605-867-5643. This agreement is a sub-grant under the Comprehensive Indian Resources for Community Law Enforcement (CIRCLE) Project, Department of Justice grant #1000-DD-BX-0074, for the Volunteers for Tribal Youth Program (TYP) and the Children’s Justice Act Partnerships for Indian Communities (CJA) projects. The TYP and CJA portions of the CIRCLE grant are projects to address child abuse and coordinated community response to reduce trauma to children, to provide intervention to prevent juvenile delinquency and treatment for child victims.

Therefore, the parties agree as follows:

1. PURPOSE OF SUB-GRANT. CASA shall carry out the activities described in the Children’s Justice Act (CJA) and Volunteers for Tribal Youth Program (TYP) grant application, grant award documents and any supplemental grants, including, but not limited to hiring, directing and supervising staff described in these projects in order to meet grant objectives. CASA shall have full authority to carry out the grant activities according to CASA program policies and procedures, and in consultation with grant managers at the Department of Justice as required. These activities shall be consistent with the work plan in the grant application, grant award documents and any supplemental grants for these programs.

2. PAYMENT. The payment for these activities shall be as set forth in the grant application, grant award documents and any supplemental grants for these programs. Payment for the CJA and TYP programs shall be made to CASA through its fiscal agent, Cangleska, Inc. until such time as CASA notifies OST that CASA shall be its own fiscal agent. The fiscal agent shall provide the information required for timely completion of Financial Status Reports (FSR) to the OST Treasurer’s Office according to OST Policies and Procedures and shall follow the procedures outlined in the Tribes Financial Management System, as amended: a) The sub-grantee must submit a request for the Draw-down in Memo form to the OST Treasurer’s office; b) The Sub-grantee must attach adequate documentation of expenses incurred in accordance with the sub-grantee’s accounting system.

3. RESTRICTIONS. CASA and its fiscal agent agree to adhere to all Special Conditions in the grant award and any supplemental grants for these programs. CASA and its fiscal agent shall be responsible for all audit costs and shall be responsible for retaining a qualified auditor and shall provide OST Treasurer’s Office with a copy of the audit in accordance with federal regulations.

4. PROGRESS REPORTS. CASA shall file all program reports required by the grants, and provide copies to the OST Treasurer’s Office in accordance with OST Policies and Procedures. OST shall file Progress Reports for TYP and CJA programs with the Department of Justice. OST shall not be obligated to make payments under this subcontract unless CASA has submitted required progress reports.

5. RELATIONSHIP OF PARTIES. It is understood by the parties that CASA is an independent nonprofit contractor to OST and not its employee. OST shall not provide fringe benefits, including health insurance.
benefits, paid vacation, or any other employee benefit, for the benefit of CASA or those hired to implement the TYP and CJA programs under CASA.

6. NOTICES. All notices required or permitted under this agreement shall be in writing and shall be deemed delivered when delivered in person or deposited in the United States mail, postage prepaid, addressed as follows:

CASA: Arlana Bettelyoun, Executive Director, Oglala Lakota CASA Program, P.O. Box 5014, Pine Ridge, SD 57770

OST: Bart Merdanian, Tribal CIRCLE Coordinator, P.O. Box H, Pine Ridge, SD 57770

Either party may change such addresses from time to time by providing written notice to the other in the manner set forth above.

7. AMENDMENT. The agreement may be modified or amended if the amendment is made in writing and is signed by both parties. All proposed changes to this agreement must be provided in writing to the other party at least 30 days prior to the anticipated change. Each party shall provide a written response within 15 days of receipt of proposed changes, if there is no consensus on the changes proposed.

8. RESOLUTION OF CONFLICTS. The parties shall resolve any conflicts through a tiered conflict resolution process. The CASA Director and OST Tribal CIRCLE Coordinator shall be the first point of resolution for conflicts within the projects and collaborating partners. If the conflict cannot be resolved by the CASA Director and CIRCLE Coordinator, then the parties shall agree on a mediator to resolve the issues. Should the parties be unable to agree on a mediator, then each one shall select a mediator. These two mediators shall meet together and select a third mediator who shall attempt to resolve the conflict. Conflicts shall be addressed as soon as possible in whatever manner is considered most appropriate including telephone calls, e-mail, conference calls and/or scheduled meetings.

9. EFFECT ON EXISTING RIGHTS. Nothing in this Agreement shall be construed as affecting, modifying diminishing or otherwise impairing the sovereign immunity from suit enjoyed by the OST, or authorizing or requiring the termination of any existing trust responsibility of the United States with the OST.

10. DURATION. This Agreement shall remain in effect for as long as OST receives funding for the projects set forth in the TYP and CJA grant application, award and any supplemental grants to operate these programs, and so long as CASA complies with the terms, conditions and assurances referenced herein.

ACCEPTED AND AGREED:

The undersigned are duly authorized and do hereby accept and agree to the provisions and terms of this two page Agreement to Sub-grant:

Oglala Lakota CASA Program

By: ________________ __________________________
    Executive Director     Date
     Oglala Sioux Tribe

By: ______________________ __________________________
    Acting President     Date

National CASA Association
Appendix

N. Program Director Assessment Form

How to Complete the Questionnaire

This 11-page questionnaire is designed to help you, your board colleagues and the program director assess the program director’s performance. It should take you 30 to 60 minutes to complete. To encourage candor, the questionnaire does not ask for your name. Your confidential responses, along with the responses of your colleagues, will be summarized and shared with the program director at a meeting with (the President or a small committee of the board.)

Each section begins with a brief description of an important area of responsibility. Please read it and then answer the questions that follow. The questions measure your level of satisfaction with how the program director is carrying out various aspects of each responsibility. Check off the number representing the degree to which you are satisfied or not satisfied with the chief executive’s performance in each responsibility mentioned. The answer you mark can range on a scale of 1 to 4, with 1 representing “Very Dissatisfied” and 4 representing “Very Satisfied.”

1 - Very Dissatisfied
2 - Dissatisfied
3 - Satisfied
4 - Very Satisfied

You also have the option of answering “Not Sure.” If you think a particular question is not applicable, feel free to skip it.

At the end of each section and at the conclusion of the assessment are a number of open-ended questions. Please take the time to answer these questions, since your responses will be especially helpful when the board and program director look for ways to strengthen the executive’s performance and the organization as a whole.

Note: This form as adapted from Assessment of the Chief Executive by Jane Pierson and Joshua Mintz, © National Center on Nonprofit Boards.
I. **Vision, Mission, and Strategies**

The chief executive’s role has both strategic and operational components. Working with the board, the program director must develop a shared vision for the future of the organization, build understanding around the current mission, and develop appropriate strategic directives, measures of success, and performance targets to advance that mission.

<table>
<thead>
<tr>
<th>How satisfied are you that:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>1–1 The program director has worked with the board to develop a clear vision for the organization and understands his or her own leadership role?</td>
<td>1 2 3 4 NS</td>
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<tr>
<td>1–2 The program director, working with the board, translates the organization’s mission into realistic strategic directives and performance targets?</td>
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<tr>
<td>1–3 The program director works with the board to create an effective process for strategic planning for the organization?</td>
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<tr>
<td>1–4 The program director has a sense of what must change and what must remain the same in order to accomplish the organization’s mission and realize its vision?</td>
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</tr>
</tbody>
</table>

What are the major strengths of the program director in this area?

How can the program director do better in this area?

*Note:* This form as adapted from Assessment of the Chief Executive by Jane Pierson and Joshua Mintz, © National Center on Nonprofit Boards.
II. Accomplishment of Management Objectives

Working with the board, the program director establishes performance targets and key actions that support the strategic plan. The program director is responsible for leading the staff in the implementation of the strategic plan and annual plans.

<table>
<thead>
<tr>
<th>How satisfied are you that:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>2–1 The program director selects and cultivates qualified senior staff, models effective behaviors and skills, and builds morale among staff and volunteers?</td>
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<tr>
<td>2–2 The program director ensures that there are appropriate systems in place to facilitate the day-to-day operations of the organization in the areas of:</td>
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<tr>
<td>a Development and delivery of programs?</td>
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<td>b Education and outreach?</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>c Policy development?</td>
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<tr>
<td>d Administration and operations?</td>
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<td></td>
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<tr>
<td>e Fundraising and resource development?</td>
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</tr>
<tr>
<td>2–3 The program director has made progress in accomplishing the Critical Success Factors annually established by the board (or appropriate committee) in consultation with the chief executive?</td>
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</tr>
</tbody>
</table>

What are the major strengths of the program director in this area?

How can the program director do better in this area?

Note: This form as adapted from Assessment of the Chief Executive by Jane Pierson and Joshua Mintz, © National Center on Nonprofit Boards.
III. Program Management

A nonprofit organization carries out its mission by offering specific programs and services. The program director leads the staff in managing and administering these programs and services. This requires a thorough knowledge of the organization’s mission area as well as an understanding of technical, operational, and ethical issues.

<table>
<thead>
<tr>
<th>How satisfied are you that:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>3–1 The program director demonstrates substantive knowledge regarding the organization’s programs and services?</td>
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<tr>
<td>3–2 The program director works with the board to develop appropriate policies to ensure the efficiency and effectiveness of programs?</td>
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<tr>
<td>3–3 The program director ensures that staff manage these programs effectively?</td>
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<tr>
<td>3–4 The chief executive, through effective oversight and staffing, sets high standards of quality for the organization’s programs?</td>
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<tr>
<td>3–5 The program director recommends new programs and the modification or discontinuance of current programs, as appropriate, to the board?</td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

What are the major strengths of the program director in this area?

How can the program director do better in this area?

_Note:_ This form as adapted from Assessment of the Chief Executive by Jane Pierson and Joshua Mintz, © National Center on Nonprofit Boards.
IV. **Effectiveness in Fundraiser and Resource Development**

The chief executive, in partnership with the board, is responsible for developing and implementing appropriate fundraising and financial development strategies. The program director and board use their combined strengths, knowledge, and relationships to help the organization achieve its performance targets.

<table>
<thead>
<tr>
<th>How satisfied are you that:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>4–1 The program director has a clear understanding of the current and future financial resources needed to realize the organization’s mission?</td>
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<tr>
<td>4–2 Working in concert with the board, the program director implements a fundraising program that meets the strategic directives established for the organization?</td>
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<tr>
<td>4–3 The program director is innovative in the creation of partnerships with businesses or other institutions that contribute to the organization’s resources?</td>
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</tr>
<tr>
<td>4–4 The program director guides revenue-generating activities in order to provide adequate income to the organization?</td>
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</tr>
<tr>
<td>4–5 The program director is an effective fund and friend raiser, working well with staff, donors, and board members to secure adequate income and strong personal commitments from those who have an interest in the organization?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What are the major strengths of the program director in this area?

How can the program director do better in this area?

*Note:* This form as adapted from Assessment of the Chief Executive by Jane Pierson and Joshua Mintz, © National Center on Nonprofit Boards.
V. Fiscal Management

Ensuring that income is managed wisely is especially important for a nonprofit organization operating in the public trust. It is the role of the program director to see that solid planning and budgeting systems are in place and that the organization’s goals and strategic plan serve as the basis for sound financial planning. In addition, it is the chief executive’s responsibility to ensure that qualified staff are hired to accurately monitor, assess, and manage the financial health of the nonprofit.

<table>
<thead>
<tr>
<th>How satisfied are you that:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>5–1 The program director is knowledgeable regarding financial planning, budgeting, management of the organization’s investments and endowment, and understands the place of each in the organization’s overall financial picture?</td>
<td>1</td>
<td>2</td>
<td>3 4</td>
</tr>
<tr>
<td>5–2 The program director has established a system linking strategic and operational planning with the organization’s budgeting process?</td>
<td></td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>5–3 The program director presents financial reports to the board on a regular basis and submits an annual budget for board review, revision, and approval?</td>
<td></td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>5–4 The program director ensures that a clear and accurate accounting system is maintained, allowing the board to monitor the organization’s finances and operations in relationship to the approved budget and to make informed financial decisions?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What are the major strengths of the program director in this area?

How can the program director do better in this area?

*Note:* This form as adapted from Assessment of the Chief Executive by Jane Pierson and Joshua Mintz, © National Center on Nonprofit Boards.
### VI. Operations Management

The program director is responsible for day-to-day management. The program director works with staff to develop, maintain, and use the systems and resources that facilitate the effective operation of the organization.

<table>
<thead>
<tr>
<th>How satisfied are you that:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>6–1 The program director is knowledgeable regarding the operations of an effective office environment?</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>6–2 The program director has assured the organization has in place:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a Sound risk management policies, including adequate insurance coverage?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b Accounting, payroll, and cash management systems?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c Appropriate personnel policies and systems for staffing?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d Appropriate space management plans, which help build an efficient and harmonious work place?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e Plans for the appropriate use of technology and technological systems?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6–3 The program director ensures compliance with all legal and regulatory requirements?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What are the major strengths of the program director in this area?

How can the program director do better in this area?

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VII. The Chief Executive/Board Partnership

The program director and the board must work together as partners. Each arm of leadership draws upon its own unique strengths and abilities. The program director and the board have joint responsibility for developing and maintaining a strong working relationship and a system for sharing information. The board is responsible for creating a written job description for the program director that is clear and agreed to by all parties.

<table>
<thead>
<tr>
<th>How satisfied are you that:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>7–1 The program director and the board are clear about the differences between their respective roles?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7–2 The program director has earned the respect given a professional by members of the board?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7–3 The program director understands the boundaries of authority delegated by the board and is able to manage the organization effectively within those boundaries?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7–4 The program director raises issues and questions and provides adequate information to inform board discussions?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What are the major strengths of the program director in this area?

How can the program director do better in this area?

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**VIII. The Board/Staff Relationship**

Because many organizational issues require a partnership of board and staff to be addressed effectively, the program director should work to create opportunities for senior staff to interact with board members and to ensure that board and staff have a good working relationship.

<table>
<thead>
<tr>
<th>How satisfied are you that:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>8–1 The program director has established appropriate systems for dialogue and communication between the board and staff to ensure that the board maintains a good knowledge of the organization?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8–2 The program director and senior staff have built effective working relationships with the officers of the board and committee chairs who are responsible for specific aspects of organizational governance?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8–3 The working relationships among the program director, staff, and board are collegial?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What are the major strengths of the program director in this area?

How can the program director do better in this area?

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**IX. External Liaison and Public Image**

The program director and board members are key players in establishing and maintaining positive relationships with the many groups that support the work of the nonprofit.

<table>
<thead>
<tr>
<th>How satisfied are you that:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>9–1 The program director maintains a positive professional reputation in the local community and is a good ambassador?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9–2 The program director cultivates effective relationships with:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a Community and business leaders?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b Constituents?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c Public officials?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d Relevant professional organizations?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e Potential funders?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9–3 The program director is an articulate and knowledgeable spokesperson?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9–4 The program director is well regarded by his professional peers in the organization’s area of focus?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

What are the major strengths of the program director in this area?

How can the program director do better in this area?

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X. **Board Perceptions of the Organization**

As the board reviews the performance of the program director, it should also gauge its perceptions of the general operations and quality of the organization in the following areas. The responses to these questions may help to focus the board and program director’s attention on specific areas of organizational strength and limitations and will help to guide future organizational development efforts.

<table>
<thead>
<tr>
<th>How would you rate:</th>
<th>Not Satisfied</th>
<th>Satisfied</th>
<th>Not Sure</th>
</tr>
</thead>
<tbody>
<tr>
<td>a Administration and Operations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b Program Development and Delivery</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c Financial Management</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d Marketing and Public Relations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e Strategic Planning</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>f Fundraising</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>g Client Services</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>h Overall Quality of Staff Performance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>i Other: __________________________</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Comments:

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**Open-Ended Questions**

1. What are the three major strengths of the program director?

2. What are some limitations in the program director’s performance?

3. What have been the most significant achievements of the program director over the last year?

4. What external factors have influenced the program director’s performance?

5. In the last year, what difficult issues have faced the organization, and how did the program director bring them to resolution?

6. Have any legal or ethical issues arisen with regard to the operations of the organization? How were these brought to successful resolution?

7. What are areas in which the board could provide better support to the program director?

8. Additional comments:

*Note:* This form as adapted from Assessment of the Chief Executive by Jane Pierson and Joshua Mintz, © National Center on Nonprofit Boards.
Appendix

O. Board or Advisory Committee Self-Assessment

Issues Related to CASA Program and Board Assessment

1. When did the board/committee last review the goals and current conditions of the CASA program —its financial prospects, staff (with special attention to the program director), operational efficiency, and short- and long-term objectives?

2. Has the board ever undertaken a deliberate assessment of its goals and its governance?

3. How soon would it be desirable to do so?

4. How extensive an appraisal would be suitable for the current state of the CASA program?

5. Who should conduct the assessment?

6. Should a consultant be used?

Questions for Assessing the Organization of the Board

7. Does the board have a simple, concise set of bylaws?

8. Do these spell out clearly the duties of each board officer?

9. Are the procedures for transacting board business clear and workable?

10. Does the board have an elected executive committee for handling matters that may arise between meetings?

11. Does the board have working committees whose primary concerns are related to the overall program staff of the CASA program, such as personnel, legislation, public relations, etc.?

12. When committee assignments are made, are their responsibilities put into writing with copies given to members?

13. Are committee assignments reviewed and evaluated periodically?

14. Is the working relationship among the president, other officers of the CASA program and the remainder of the board clearly defined, understood and practiced?
15. Are board members clear about their specific roles and responsibilities?

**Questions for Assessing the Work Effectiveness of the Board**

16. Are the regularly scheduled meetings adequate for conducting the board’s business?

17. Do board meetings begin and end on time according to an agreed-upon schedule?

18. Do board members have enough time between board meetings to research items and prepare material for agendas?

19. Do board meetings reflect a spirit of mutual cooperation, free discussion and active participation by all members?

20. Does the board maintain its role as a group primarily concerned with CASA program policies, planning reviews, board authorizations and overall CASA program director evaluation?

21. Are routine matters that call for board action handled quickly?

22. Are the minutes of board and committee meetings circulated among the entire board membership?

23. Do various committees make regular progress reports to the board?

24. Is time allotted for board discussion of CASA matters that are related in some way to the community, court system, state, federal government or other organizations?

25. Do board members devote enough time to the work of the organization?

26. Do board members have a good attendance record at both board and committee meetings?

27. Does the board concern itself with CASA priorities?

28. Is the board sufficiently well informed about the matter at-hand to make sound, reasonable decisions in the best interest of the overall CASA program?

**Questions for Assessing Board Member Participation**

29. Is there a written statement describing the qualifications of board members?

30. Does the board’s membership consist of individuals who are deeply concerned and interested in the goals and operation of the organization?

31. Are the duties and responsibilities of board members clearly defined in a written statement?

32. Does each member have a copy of the organization’s constitution and bylaws?
33. Do board members regularly participate in formal or informal training programs designed to increase their effectiveness?

34. Do board members accept their assignments agreeably and carry them out to the best of their abilities?

35. Do board and staff members work together (from time to time) on specific projects?

36. Do board members concern themselves primarily with board functions, or do they devote too much time to day-to-day matters that are the responsibility of staff managers?
Appendix

P. CASA Program Assessment by Volunteers

Samples:

Sample Cover Letter: Volunteer Survey

(Date)

{Name}
{Address} {
City}, {State} {Zip}

Dear {First Name}:

The Court Appointed Special Advocates of {blank} is evaluating the services we provide to children and their families. Part of this process involves surveying those who work with CASA in serving the community as well as CASA volunteers.

Because you are currently involved in a case and serving a child as a CASA volunteer, we ask you to take a few minutes to complete the enclosed survey.

Please be assured that your answers are confidential. Do not include your name on the survey.

We know how busy you are, but we ask for your help so that we can assist you (and the children and families we serve) in the best possible way. Please complete the survey and return it by {date}. You may receive a reminder postcard or phone call prior to the due date in order to maximize our response.

If you have any questions about the survey or CASA’s evaluation process, please call us at {phone number}. Thank you for your cooperation.

Sincerely,

{name}

Enc.
Volunteer Survey

The statements below describe reactions CASA volunteers may have about their experiences as a CASA. For each statement, circle the response which best describes your feelings about the statement.

How long have you been a CASA? _______

1. I understand what I am expected to do as a CASA volunteer.
   - strongly agree
   - agree
   - disagree
   - strongly disagree

2. I feel I have received adequate training.
   - strongly agree
   - agree
   - disagree
   - strongly disagree

3. I am comfortable making recommendations in my role as a CASA.
   - strongly agree
   - agree
   - disagree
   - strongly disagree

4. I am prepared for the court reports and court hearings.
   - strongly agree
   - agree
   - disagree
   - strongly disagree

5. I think my recommendations are taken seriously by the judge.
   - strongly agree
   - agree
   - disagree
   - strongly disagree

6. I feel comfortable talking to my supervisor about the case.
   - strongly agree
   - agree
   - disagree
   - strongly disagree

7. I think I receive enough supervision.
   - strongly agree
   - agree
   - disagree
   - strongly disagree

8. My supervisor is helpful.
   - strongly agree
   - agree
   - disagree
   - strongly disagree

9. My supervisor helps keep me motivated.
   - strongly agree
   - agree
   - disagree
   - strongly disagree

10. I am prepared for the court reports and court hearings.
    - strongly agree
    - agree
    - disagree
    - strongly disagree

11. I feel valued by the parents.
    - strongly agree
    - agree
    - disagree
    - strongly disagree

12. I feel my opinion is respected by the child welfare worker.
    - strongly agree
    - agree
    - disagree
    - strongly disagree

13. I feel that I am making a difference.
    - strongly agree
    - agree
    - disagree
    - strongly disagree

14. I plan to continue being a CASA.
    - strongly agree
    - agree
    - disagree
    - strongly disagree

Please explain any areas of concern you have.

Please describe additional training you might find helpful.

Please describe how your supervisor and the CASA office could be more helpful to you.

What has been most difficult for you as a CASA?

What have you found most rewarding/helpful?
Appendix

**Q. CASA Program Assessment by Community**

**Parent Survey of CASA/GAL Volunteers**

If you have had experience with more than one CASA volunteer, please just consider your most recent when answering the questions.

Please circle your response to the following statements.

<table>
<thead>
<tr>
<th></th>
<th>strongly agree</th>
<th>agree</th>
<th>disagree</th>
<th>strongly disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>I understand the role of the CASA/GAL volunteer.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>2</td>
<td>The CASA/GAL volunteer acts professionally.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>3</td>
<td>The CASA/GAL volunteer understands the court system.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>4</td>
<td>The CASA/GAL volunteer understands the child welfare system.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>5</td>
<td>The CASA/GAL volunteer has an understanding of the needs of “my” child(ren).</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>6</td>
<td>The CASA/GAL volunteer respects my opinion.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>7</td>
<td>The CASA/GAL volunteer is working for the best interest of “my” child(ren).</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>8</td>
<td>I find the CASA/GAL volunteer helpful.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>9</td>
<td>CASA/GAL volunteers make a difference with the children they serve.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>10</td>
<td>I would like to see more children served by the CASA/GAL program.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>11</td>
<td>The volunteer CASA/GAL provides and objective opinion.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>12</td>
<td>The CASA/GAL volunteer influences court decisions.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>13</td>
<td>The CASA/GAL volunteers visit the children regularly.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>14</td>
<td>The CASA/GAL volunteer asks good questions.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>15</td>
<td>The CASA/GAL volunteer explains their role.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>16</td>
<td>The CASA/GAL volunteer asks my opinion.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td>17</td>
<td>I am treated respectfully by the volunteer CASA/GAL.</td>
<td>4</td>
<td>3</td>
<td>2</td>
</tr>
</tbody>
</table>

-over-
18. What is your relationship to the child(ren):

- [ ] Biological Parent
- [ ] Relative
- [ ] Foster Parent
- [ ] Adoptive Parent
- [ ] Other___________________

19. How long have the children been involved with the court system_________(in years)

20. Is the case plan for the child(ren) to return to a biological parent?
   - [ ] Yes
   - [ ] No

21. Is the case plan for the child(ren) to be adopted?
   - [ ] Yes
   - [ ] No

22. How many CASA/GAL volunteers have you worked with? ____________

23. In what ways could the CASA/GAL better serve the children?

24. In what ways could the CASA/GAL work better with you?

25. Please give an example of something the CASA/GAL did that you found most helpful.

26. Do you have any other comments about CASA/GAL volunteers?

Thank you for taking the time to complete the survey.
# Child Protection Survey of CASA/GAL volunteers

If you are a front line worker and have had experience with more than one CASA volunteer, please evaluate CASA/GAL volunteers based on your most recent experience. If you are a supervisor please try to give an overall rating of your experience with CASA/GAL volunteers and not a specific volunteer.

Please circle the number that best corresponds with your response to the following statements

<table>
<thead>
<tr>
<th>Statement</th>
<th>strongly agree</th>
<th>agree</th>
<th>disagree</th>
<th>strongly disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 I understand the role of the CASA/GAL volunteer.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>2 The CASA/GAL volunteer acts professionally.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>3 The CASA/GAL volunteer understands the court system.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>4 The CASA/GAL volunteer understands the child welfare system.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>5 The CASA/GAL volunteer has an understanding of the needs of child(ren).</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>6 The CASA/GAL volunteer respects my opinion.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>7 CASA/GAL volunteers are working for the best interest of the child(ren).</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>8 I find CASA/GAL volunteers helpful.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>9 CASA/GAL volunteers make a difference with the children they serve.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>10 I would like to see more children served by the CASA/GAL program.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>11 CASA/GAL volunteers provide an objective opinion.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>12 CASA/GAL volunteers influence court decisions.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>13 The CASA/GAL volunteers visit the children regularly.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>14 The CASA/GAL volunteer asks good questions.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>15 The CASA/GAL volunteer explain their role.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>16 The CASA/GAL volunteer asks my opinion.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>17 CASA/GAL volunteers have a positive reputation in my community.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>18 CASA/GAL volunteers have a good working relationship with others involved in the case.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>19 CASA/GAL volunteers are prepared for meetings.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>

-over-
20. What is your role?
   Front line worker
   Supervisor
   Other ____________________

21. In what ways could CASA/GAL volunteers better serve children?

22. In what ways could CASA/GAL volunteers work better with you?

23. Please give an example of something a CASA/GAL volunteer did that you found most helpful.

24. Do you have any other comments about CASA/GAL volunteers?

   Thank you for taking the time to complete the survey.
## Judge and Attorney Survey of CASA/GAL volunteers

*Please try to give a general rating of your experience with CASA/GAL volunteers and not a specific volunteer.*

Please circle the number that best corresponds with your response to the following statements:

<table>
<thead>
<tr>
<th>Statement</th>
<th>Strongly agree</th>
<th>Agree</th>
<th>Disagree</th>
<th>Strongly disagree</th>
</tr>
</thead>
<tbody>
<tr>
<td>1  I understand the role of the CASA/GAL volunteers.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>2  CASA/GAL volunteers act professionally.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>3  CASA/GAL volunteers understand the court system.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>4  CASA/GAL volunteers understand the child welfare system.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>5  CASA/GAL volunteers have an understanding of the needs of children.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>6  CASA/GAL volunteers respect my opinion.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>7  CASA/GAL volunteers are working for the best interest of the child(ren).</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>8  I find CASA/GAL volunteers helpful.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>9  CASA/GAL volunteers make a difference with the children they serve.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>10 I would like to see more children served by CASA/GAL program.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>11 CASA/GAL volunteers provide an objective opinion.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>12 CASA/GAL volunteers influence court decisions.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>13 CASA/GAL volunteers are prepared for court hearings.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>14 CASA/GAL volunteers make appropriate recommendations.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>15 CASA/GAL volunteers are valuable to the courts.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>16 It is important for CASA/GAL volunteers to attend court hearings.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>17 CASA/GAL volunteers have a positive reputation in my community</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>18 CASA/GAL volunteers have a good working relationship with others involved with the case.</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>
19. What is your role?

- Judge
- Attorney for Child
- Attorney for Parent
- Other___________________

20. In what ways could CASA/GAL volunteers better serve children?

21. In what ways could CASA/GAL volunteers better work with you?

22. Do you have any other comments about CASA/GAL volunteers?
Use this short checklist annually to assess the value of your board’s committees and determine whether the committee is still needed.

<table>
<thead>
<tr>
<th>Name of Committee:</th>
<th>Yes</th>
<th>No</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>_________________</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

1. The committee has a written job description from the full board.

2. The committee reports regularly to the full board.

3. Each committee meeting has a meeting agenda.

4. Actions of this committee could not be accomplished as efficiently by the full board.

5. The board believes this committee saves the full board time.

6. Committee reports are submitted in writing and in time to be sent to board members in advance of meetings.

7. Committee meetings are conducted in an orderly and results-oriented fashion.

8. The committee meets all board deadlines.

9. The program director or a delegated staff member is a non-voting member of the committee.

10. Is the committee needed?

11. Next year, this committee will:
###Appendix

####S. Checklist for Effective Board Meetings

Check “A” for Adequate or “NI” for Needs Improvement to evaluate how well your board prepares for board meetings. If “NI” is your response, add comments.

<table>
<thead>
<tr>
<th>Item</th>
<th>A</th>
<th>NI (comments)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Does the board have a procedure for setting the meeting agenda?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Do meeting preparation materials arrive in time to give board members an opportunity to read and study them prior to the next meeting?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Do the board chair and program director discuss agenda items in advance of meetings and anticipate problems that might occur?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Are matters that require action thoroughly studied and discussed before coming to the board in the form of a written recommendation from the program director or subcommittee?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Does the meeting agenda specify which items will require board action?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Does your chair provide a recommended action for action items, including alternatives and the impact of the decisions on the organization?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Do members give the full board and program director time to prepare before bringing up significant items at board meetings?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Do board members come to meetings well prepared and ready to discuss agenda items?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Are committee reports and recommendations distributed to board members in advance of meetings?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Do staff members attend meetings to provide advice and background information on issues as needed?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Is the board meeting space adequate and conducive to effective decision-making?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix

T. National CASA Quality Assurance System

Frequently Asked Questions

1. **What is the National CASA quality assurance system all about?**
   Commitment to quality is a commitment to the children we serve. National CASA aims to develop a system that encourages, inspires and assists program in achieving their greatest potential and delivering high-quality advocacy on behalf of the children they serve. National CASA recognizes the diversity of the CASA/GAL network and the need for flexibility in the system. The National CASA quality assurance system assesses program operations based on National CASA’s *Standards for Local CASA/GAL Programs*.

2. **What is the primary purpose of the National CASA quality assurance system?**
   The primary purpose is to support our mission of providing *quality* volunteer representation for children to provide each abused or neglected child in the court system a safe, permanent and nurturing home. It is integral to the National CASA mission that member programs and programs calling themselves CASA programs meet standards. Additionally, the quality assurance system helps identify program strengths and challenges. The system needs to promote program growth and sustainability.

3. **What are the benefits of the quality assurance system to local programs?**
   As reflected under the questions above, programs benefit by strengthening their operations, fostering greater awareness among staff, volunteers and the governing body of how the program operates, including both program excellence and program challenges. Accountability to the court, funders and the community all help build and protect public trust as well as donor trust. An additional benefit is improved recruitment and retention of volunteers, the very core of advocacy for children. National CASA has made quality assurance a dedicated commitment and will support this commitment through technical assistance to programs in partnership with state associations.

4. **What does the National CASA quality assurance system involve, and what is required?**
   The National CASA quality assurance system has two levels. The first level is provisional membership self-assessment for new CASA/GAL programs and is required to become a provisional member of National CASA. The second level is full program membership self-assessment for established CASA/GAL programs and is required every four years to continue full program membership in National CASA.

5. **What does the self-assessment process for full program members entail?**
   The self-assessment process consists of the completion of a questionnaire-style tool via a self-assessment team and submission of supporting documentation. The tool has three sections: program information, a series of yes/no questions for each standard and a checklist of supporting documentation, called indicators of compliance.

6. **Who in the program should participate on the self-assessment team?**
   A representative committee or group of people associated with the CASA/GAL program should complete this self-assessment tool. The representative committee should include a combination of program staff, volunteers and governing body members. There are areas in the tool where the views and opinions of judges will be helpful in assessing compliance with the *Standards for Local CASA/GAL Programs*. 
7. **How is the self-assessment tool scored?**

Each standard is scored individually, with the score simply calculated as the number of “no” responses subtracted from the total number of items. There are several items where an N/A response may be appropriate based on administration type or some other program characteristic. The specific qualification for the N/A response is included with such items, and these N/A responses are not scored.

8. **What score is required to be considered compliant with standards?**

A minimum of 85% compliance is required for all standards. 100% of the indicators of compliance are required unless noted as not applicable and any omissions are justified as not applicable by the program. Standard 3 relates to new program development and is not addressed in this tool.

9. **Who reviews and scores the self-assessment tool?**

National CASA recruits outside reviewers to review the self-assessment tool and indicators of compliance. Reviewers all have CASA/GAL experience with diverse backgrounds, perspectives and skills and are trained to review the tool and indicators, including specific training on the variety of administration and model types as well as program characteristics that may lead to greater challenges for programs to operate in compliance with standards.

10. **After submitting the self-assessment tool, when will we hear back from National CASA? And if we are out of compliance, how much time will we have to get into compliance?**

A report will be sent to the program approximately six weeks after receipt of the self-assessment materials. If the program is out of compliance with one or more standards, the program will work together with National CASA staff to develop a compliance plan for the standards with which the program is not compliant. The program will have up to six months from the date of the report to come into compliance. National CASA has a responsibility to require a much shorter timeframe for items designated as minimums for children’s safety and any other indications of extreme compliance issues. A three- to six-month extension may be granted when appropriate and approved by National CASA.

11. **With whom will National CASA share the report from the self-assessment information?**

National CASA will send the full report to the regional program specialist, program and state director only. The program will be informed whenever communication occurs with the judge. When the program has demonstrated compliance with the standards, the program will receive a letter of commendation from National CASA along with a certificate of compliance and a sample press release package. Additionally, a letter of compliance will be sent to the governing body, local judge and state director.

12. **How will National CASA support our efforts to get into compliance with standards?**

National CASA staff are very committed to quality assurance and to providing programs with technical assistance and support to get into compliance. The National CASA regional specialists and quality assurance manager look forward to this opportunity to work closely with programs toward ensuring the highest quality advocacy for children served.

13. **When will the programs be notified of their assigned wave?**

Programs assigned to the first wave will be notified by February 1, 2008. The final version of the self-assessment tool will be available for all programs by December 14, 2007. We will ask that programs complete and submit the self-assessment during their assigned wave. If a program would like to complete
the process in an earlier wave, we ask you to communicate with the quality assurance manager. The wave assignments are based on a number of factors.

15. **How much time will it take to complete the self-assessment tool?**

Past programs spent approximately 10-12 hours total to complete the self-assessment tool, over a 4-month period of time. Factors that could affect the amount of time required include how well organized the program is, how readily available policies and procedural documents are and availability of the people involved in the process. It may be more productive to view the time as an investment in strategic planning and long-term growth of the program. Whatever time is required to pull together the information will save the program time in the long run by having all of the information organized and centrally located.

16. **How do you suggest that we prepare for the self-assessment process? And how do you suggest that we approach the self-assessment tool?**

It seems to be the general consensus of programs having completed the self-assessment tool that the tool appears much more daunting at first glance than it actually is when the process gets under way. Here is a specific way that a program might approach the self-assessment process:

**Preparation**
1. Do an initial dry run through the self-assessment tool.
2. Recruit committee members.
3. Assemble documents listed in the indicators of compliance checklist.

**Self-assessment completion**
4. Answer all questions in the self-assessment tool, paying attention to which items are addressed in the indicators of compliance.
5. Create/revise/adopt indicators of compliance as necessary.

17. **Are there examples available of the indicators of compliance?**

Coming soon, there will be examples of all indicators of compliance available for download at casanet.org. Some state associations have also developed sample forms for the programs in their states. Inquire with your state director, regional program specialist or the quality assurance manager for more specific assistance.