

Standard 1: CASA/GAL Program Mission and Purpose

A. CASA/GAL Program Mission

1. Does your CASA/GAL program have a written mission statement? Y/N
2. Is the CASA/GAL program's mission statement consistent with the mission and standards of National CASA? Y/N
3. Has the CASA/GAL program's mission statement been adopted by the program's governing body? Y/N
4. Does the CASA/GAL program accept cases that come before the court as a result of abuse or neglect as defined by the state child welfare laws? Y/N **Required**
5. Does the CASA/GAL program use individuals who meet the definition of "trained and qualified community volunteers"? Y/N **Required**
6. Does the CASA/GAL program ensure that volunteers have regular and sufficient in-person contact with the child at least once every thirty (30) days to enable the volunteer to have an in-depth knowledge of the case and make fact-based recommendations to the court? Y/N **Required**
 - a. If exceptions to the once-every-thirty-days requirement are made, does the CASA/GAL program document these exceptions? Y/N/NA **Required**
7. Is the CASA/GAL program an inclusive organization with a governing body, employees and volunteers who reflect the diversity of the children they serve? Y/N
8. Does the CASA/GAL program consistently offer services in a manner that reflects:
 - a. CASA/GAL program mission? Y/N
 - b. Available personnel and financial resources? Y/N
 - c. Program's funding sources and requirements? Y/N
 - d. Roles and responsibilities required by law? Y/N
9. Do the CASA/GAL program's governing body and personnel cooperate and coordinate with the courts, public agencies, community groups, families and individuals? Y/N

B. Legal Authority to Operate

1. Has the program been granted the legal authority to operate through state or local statute, executive or judicial order, or court rules? Y/N **Required**

C. Court Recognition and Support

1. If the program is a non-profit organization or is publicly administered by an entity other than the courts, does it have a written agreement with the juvenile or family court that defines the working relationship between the program and the court? Y/N/NA

NA: Court program

2. Is the written agreement renewed at least every four (4) years? Y/N/NA
3. Is the written agreement between the CASA/GAL program and the court renewed when there is a change in judicial leadership or changes in policy, law or local court rules? Y/N/NA
4. If the CASA/GAL program is court based, does it abide by the statutes or court rules that govern the relationship with the court? Y/N/NA

NA: Non-profit organization or publicly administered program

5. Does the CASA/GAL program regularly communicate with the court to determine the court's satisfaction with the program and to obtain the court's recommendations for improving the effectiveness of the program? Y/N

Standard 2: Ethical Conduct and Confidentiality

A. Ethical Conduct

1. Does the CASA/GAL program establish policies to govern ethical conduct of members of the governing body, staff and volunteers? Y/N
2. Does the chief executive officer/program administrator, any staff, paid consultant, volunteer or governing board member of the CASA/GAL program serve in accordance with written policies governing conflict of interest, accountability and delegation of authority? Y/N
3. Does the CASA/GAL program clarify the roles of a lawyer who offers legal counsel and sits on the CASA/GAL program board in order to keep the two functions separate? Y/N/NA
NA: Legal counsel does not sit on board
4. Does the CASA/GAL program maintain a written conflict of interest policy approved by the governing body that governs the conduct of members of the governing body, program staff, volunteers and paid consultants? Y/N
5. Do members of the governing body and staff annually sign the conflict of interest policy? Y/N
6. Does the conflict of interest policy:
 - a. Identify and define conduct and transactions in which a conflict of interest exists or has the potential to exist and warrants disclosure? Y/N
 - b. Prohibit employees, paid consultants, governing body members and volunteers of a non-profit or public CASA/GAL program from having direct or indirect financial interest in the assets, leases, business transactions or professional services of the program? Y/N
 - c. Identify other specific conduct that is prohibited? Y/N
 - d. Establish the requirement that the individual involved make timely disclosure of the conflict or potential for conflict in the transaction? Y/N
 - e. Include a procedure for recusal from the transaction or decision by the person with the conflict or potential conflict? Y/N
 - f. Include a procedure for dismissal or other appropriate discipline of the person involved with the conflict in the event said person fails to disclose the conflict prior to becoming involved in the transaction or decision affected by the conflict? Y/N
 - g. Prohibit an assigned CASA/GAL volunteer from being related to any parties involved in the case or being employed in a position and/or affiliated with an agency that might result in a conflict of interest? Y/N

7. If active volunteer advocates are members of the governing body, are processes and procedures in place for handling potential conflicts of interest in relation to personnel and human resource issues and other issues with potential for a conflict of interest by the board? Y/N
8. Does the CASA/GAL program promptly refer to National CASA and the state CASA organization any credible evidence that a principal employee, agent, contractor, sub-grantee, subcontractor, or other person has committed a criminal or civil violation of laws pertinent to fraud, conflict of interest, bribery, gratuity or similar misconduct involving program funds? Y/N
9. Do the CASA/GAL program's staff, volunteers and governing body members immediately notify the CASA/GAL program of any criminal charges filed against them? Y/N

B. Maintaining Confidentiality

1. Does the CASA/GAL program follow written policies and procedures regarding access to, use of and release of information about the children it serves to ensure that children's confidentiality is maintained at all times? Y/N
2. Do CASA/GAL staff and volunteers respect the child's right to privacy by maintaining confidentiality? Y/N **Required**
3. Do CASA/GAL volunteers take an oath of confidentiality upon completion of training and sign a statement of confidentiality upon acceptance of each case? Y/N
4. Do CASA/GAL staff sign a statement of confidentiality upon hire? Y/N
5. Does the CASA/GAL program ensure that its policies, procedures and practices are consistent with applicable laws and regulations pertaining to confidentiality of client information? Y/N **Required**
6. Is access to CASA/GAL records limited to the court, authorized agency personnel and others outside the agency whose requests for access to confidential information are permitted by statute or by the court? Y/N **Required**
7. Are all electronic and hard copy correspondence, files and records safely and securely maintained? Y/N
8. Are there controls in place to ensure that records can be located at any time? Y/N
9. Does the CASA/GAL program have a policy to protect confidential information of governing body and advisory committee members, staff, volunteers and donors? Y/N

Standard 3: Inclusiveness and Diversity

1. Does the CASA/GAL program create and implement an ongoing, written plan to guide and measure progress in diversifying its governing body, staff and volunteers? Y/N **Required**
2. As part of the planning process does the CASA/GAL program:
 - a. Identify specific measurable goals? Y/N
 - b. Review those goals to measure progress at least annually? Y/N
 - c. Identify new goals and activities to be met in the future? Y/N
3. Does the CASA/GAL program create and implement a written plan that addresses the needs of the children served from a diversity perspective? Y/N
4. Does the CASA/GAL program engage individuals who can:
 - a. Help identify and understand the needs of the children served? Y/N
 - b. Identify the actions the program can take to address these needs in governance, recruitment, cultural competency education and training, supervision, retention, evaluation and advocacy? Y/N
5. Is the written diversity and inclusiveness plan part of the organizational strategic plan for governing body, staff and volunteers? Y/N
6. Does the CASA/GAL program monitor the progress of the diversity plan's measurable action steps at least once every year? Y/N
7. Is the written plan revised at least once every four (4) years? Y/N **Required**
8. Does the CASA/GAL program engage in reciprocal relations with its state organization around issues of diversity and inclusion? Y/N/NA

NA: No state organization

Standard 4: Disproportionality

1. Does the CASA/GAL program collect data on the makeup of race and ethnicity of the children in foster care compared to the child population in the community it serves? Y/N
2. Does the CASA/GAL program engage in at least one activity to increase the awareness and understanding of staff and volunteers regarding issues of racial disproportionality within its local child welfare and court systems? Y/N/NA

Yes: explain what activity or activities program engages in

No: explain why program does not engage in an activity

NA: no disproportionality

3. Does the CASA/GAL program participate with child welfare providers and court representatives in *identifying and understanding* their community's issues of racial disproportionality? Y/N/NA

Yes: explain how program participates

No: explain why program does not participate

NA: no disproportionality

4. Does the CASA/GAL program work in partnership with child welfare providers and court representatives *to address* issues of racial disproportionality? Y/N/NA

Yes: explain how program works in partnership

No: explain why program does not partner

NA: no disproportionality

Standard 5: CASA Program Governance

A. Roles of the Governing Body

1. Does the governing body ensure the program's compliance with applicable laws, court rules, executive orders and regulations? Y/N
2. Does the CASA/GAL program have access to legal counsel with relevant expertise to clarify the meaning of laws or regulations governing or relating to its program operations? Y/N
3. Does the CASA/GAL program provide legal counsel as needed to assist in performing the duties assigned to the volunteers by the courts? Y/N
4. Does the governing body maintain personnel policies and periodically review and adopt changes as needed? Y/N
5. Does the CASA/GAL program procure sufficient financial resources, ensure a balanced budget and manage resources prudently in order to support its provision of services? Y/N
6. Does the governing body:
 - a. Appoint the chief executive officer/program administrator and delegate authority and responsibility for program and financial management and policy implementation? Y/N
 - b. Hold the chief executive officer/program administrator accountable for the program's performance? Y/N
 - c. Evaluate the management's handling of the CASA/GAL program's financial affairs? Y/N
 - d. Review financial reports at least quarterly, comparing actual-versus-budgeted expenditures and revenues? Y/N
 - e. Examine and approve the program's audited financial statements, operating budget and fiscal policies? Y/N
 - f. Adopt or recommend agency policies? Y/N
 - g. Select and evaluate the CEO? Y/N
 - h. Engage in strategic planning? Y/N
 - i. Engage in financial oversight? Y/N
 - j. Engage in resource development? Y/N
 - k. Assist with diversity outreach? Y/N
 - l. Actively develop resources for the program? Y/N
 - m. Maintain a written record of every meeting? Y/N

- n. Provide copies of the written record to members of governing body? Y/N
 - o. Keep a master copy of the written record with the CASA/GAL program's official documents? Y/N
7. In a non-profit organization, do the bylaws or written procedures of the CASA/GAL program:
- a. Describe the organizational structure and responsibilities of the governing body? Y/N/NA
 - b. Establish the mechanisms for selection, rotation and duration of governing body membership and for election of officers? Y/N/NA
 - c. Set the minimum number of formal meetings of the full governing body or at least four (4) times per calendar year? Y/N/NA
 - d. Set the quorum for these meetings as at least a simple majority of the current membership of the governing body? Y/N/NA
 - e. Have the governing body serve as a link between the program, the court and the community? Y/N/NA
 - f. Have the governing body establish and evaluate the program's goals, develop resources and approve policies? Y/N/NA

NA: Not a non-profit

B. Program Administration

1. Do clear lines of accountability and authority exist at all levels of the CASA/GAL program's organizational and management structures? Y/N
 - a. Are they formalized in a chart and have all staff, volunteers and governing body members received a formal orientation regarding the lines of authority and accountability? Y/N
2. If the CASA/GAL program is under an umbrella of a parent organization, is a written agreement developed that:
 - a. Details the rights and responsibilities of the program and the umbrella organization? Y/N/NA
 - b. Includes procedures for resolving situations in which a conflict of interest exists between the CASA/GAL program and its parent organization? Y/N/NA
 - c. Contains the protocol for resource development activities of both organizations? Y/N/NA
 - d. Sets a time frame of no more than two years for review and possible revisions of the agreement? Y/N/NA

NA: Program not under umbrella agency

3. Is communication and collaboration among employees, volunteers and governing body members promoted by:

- a. Providing opportunities for in-person meetings for volunteers, employees and governing body members? Y/N
- b. Providing opportunities to serve on committees as appropriate? Y/N
- c. Maintaining brief records of committee meetings? Y/N

C. Governing Body Membership and Orientation

- 1. Is the governing body inclusive of members who have a range of skills, backgrounds and knowledge that support the CASA/GAL program in fulfilling its mission? Y/N
- 2. Does the governing body have:
 - a. Skills and experience to serve at a policy-making level? Y/N
 - b. Ability to advocate for sufficient financial resources for the program to carry out its purpose? Y/N
 - c. Knowledge of the court system and the community served? Y/N
 - d. Ability to reflect community and client interests and to advocate for culturally responsive service delivery? Y/N
 - e. Other specialized skills needed to carry out the objectives of the program? Y/N
- 3. Does the program develop and utilize the following:
 - a. Job descriptions for governing body members? Y/N/NA
 - b. Board recruitment strategies? Y/N/NA
 - c. Election and screening procedures? Y/N/NA
- 4. Do the members of the governing body receive formal orientation to the CASA/GAL program's goals, objectives, structure and methods of operation, and fiduciary responsibilities including financial oversight? Y/N
- 5. Does the CASA/GAL program complete record checks on each board member? Y/N/NA

NA: Publicly-administered program for questions 5 and 6a-f

- 6. Do these record checks include:

- a. Social Security number verification? Y/N/NA **Required**

If marked no, please explain in box below:

--

- b. Criminal records from the court jurisdiction in which the applicant currently resides and works? Y/N/NA **Required**
- c. State criminal records? Y/N/NA **Required**
- d. FBI or other national criminal database? Y/N/NA **Required**
- e. National Sex Offender Registry? Y/N/NA **Required**
- f. Child abuse registry or child protective services check where permissible by law? Y/N/NA **Required**

NA: Not permissible by law

Standard 6: Human Resources Management

A. Administration

1. Is the chief executive officer or designee responsible for the management of the CASA/GAL program? Y/N
2. Does the chief executive officer or designee have the following qualifications:
 - a. Education and/or training in a related field? Y/N
 - b. Management skills and experience to effectively administer the organization's personnel and financial resources? Y/N
 - c. Ability to effectively coordinate services with the court and other community agencies? Y/N
3. Does the chief executive officer or designee:
 - a. Plan and coordinate with the governing body to develop CASA/GAL program policies? Y/N
 - b. Attend or appoint a designee to attend all meetings of the governing body and its committees to the extent authorized by the governing body? Y/N
4. Does the chief executive officer or designee review and revise personnel policies and submit the proposed policies to the governing body for review or approval annually or as needed? Y/N
5. Is the chief executive officer or designee responsible for the overall financial management of the program and does he/she report to the governing body at least quarterly on the program's financial status? Y/N
6. Does the CASA/GAL program's governing body have a written succession plan for the chief executive officer or designee? Y/N/NA

NA: Publicly administered program

6. Does the succession plan make provisions for the following:
 - a. Designation of an interim chief executive officer, if necessary? Y/N/NA
 - b. Charging a committee with responsibility for conducting a formal search? Y/N/NA
 - c. Providing the resources needed to carry out the search effectively? Y/N/NA
 - d. Notifying state organization (if there is one), National CASA, state funders and other pertinent personnel of replacement? Y/N/NA
 - e. Planning for the delegation of authority in the temporary absence, not replacement, of the chief executive officer? Y/N/NA

NA: Publicly administered program

B. Retaining Qualified Staff

1. Does the CASA/GAL program have a written job description for each position or group of similar positions that clearly specifies qualifications and responsibilities? Y/N
2. Does the CASA/GAL program efficiently manage its clerical and administrative systems, including accounting, bookkeeping, personnel records and statistical reporting? Y/N
3. Is administrative and/or supervisory responsibility assigned to staff qualified by experience and training? Y/N
4. Do all CASA/GAL program staff meet all applicable state registration, licensing, or certification requirements for their assignments and/or use of professional titles? Y/N **Required**

C. Personnel Policies

1. Does the CASA/GAL program have written personnel policies and/or practices? Y/N
2. Do the personnel policies and practices outlined in a handbook and provided to all staff cover:
 - a. Personnel practices? Y/N
 - b. Working conditions? Y/N
 - c. Wage policies and benefits, as applicable? Y/N/NA
 - d. Insurance protection? Y/N
 - e. Required and supplemental training and development opportunities? Y/N
 - f. Social media policy? Y/N
3. Does each staff member receive a copy of the personnel policies and sign an acknowledgement of reading and understanding the policies? Y/N
4. Does the CASA/GAL program comply with applicable laws and regulations governing fair employment practices? Y/N **Required**
5. Are the CASA/GAL program personnel salaries and benefits established:
 - a. By considering practices of similar agencies and organizations in the area? Y/N
 - b. In compliance with salary and benefit levels set by appropriate governing, legislative or elected bodies? Y/N
6. Does the CASA/GAL program maintain written operational procedures regarding grievances to provide personnel the opportunity and means to lodge complaints and appeals, where this is allowed under state law? Y/N
7. Does the CASA/GAL program act on any complaints in accordance with its procedures with documentation kept on file? Y/N

8. Is the complainant informed of the resolution of any complaint and a copy of the notification maintained? Y/N
9. Do procedures allow for periodic participation of personnel in management's review of personnel policies and for written notification to personnel by management of any changes in those policies in regard to personnel? Y/N
10. Does the CASA/GAL program have a policy requiring disclosure of other paid employment, volunteer or contract work by all staff? Y/N

D. Workforce Diversity

1. Is the CASA/GAL program inclusive and active in recruiting, selecting and promoting qualified staff reflective of the children served? Y/N
2. Does the CASA/GAL program administer its personnel practices without discrimination based on age, gender, sexual orientation, race, ethnicity, nationality, disability or religion? Y/N
3. Are the CASA/GAL program's personnel recruitment and selection practices in compliance with applicable laws and regulations? Y/N **Required**
4. Is the CASA/GAL program in compliance with the Equal Employment Opportunity Act? Y/N **Required**
5. Does the CASA/GAL program have a written equal opportunity policy that clearly states its practices in recruiting, selecting and promoting personnel? Y/N
6. Does the CASA/GAL program include its equal opportunity statement in personnel recruitment materials? Y/N
7. Does the CASA/GAL program have a written anti-discrimination policy that clearly states its practices in recruiting, selecting and promoting personnel? Y/N
8. Does the CASA/GAL program have a written anti-harassment policy that clearly states its practices in recruiting, selecting and promoting personnel? Y/N
9. Does the CASA/GAL program make an effort to ensure that its facility is free of barriers that restrict the employment of or use by physically challenged staff, volunteers and others? Y/N
10. Has a written plan been developed and implemented to diversify the program's workforce to promote cultural competency and equal opportunity? Y/N

E. Recruitment and Selection of Qualified Staff

1. Are all applicants for paid employment with the CASA/GAL program required to:
 - a. Complete a written application containing information about educational background and training, employment history and experience working with children? Y/N **Required**
 - b. Submit the names of three or more references that are unrelated to the applicant? Y/N

- c. Authorize the CASA/GAL program and other appropriate agencies and provide the necessary information for them to secure all required record checks? Y/N
 - d. Attend and participate in personal interviews, if requested? Y/N
2. Is a formal security check conducted on all applicants for paid employment? Y/N
3. Does the check include:
- a. Social Security number verification? Y/N **Required**

If marked no, please explain in box below:

- b. Criminal records from the court jurisdiction in which the applicant currently resides and works? Y/N **Required**
- c. State criminal records? Y/N **Required**
- d. FBI or other national criminal database? Y/N **Required**
- e. National Sex Offender Registry? Y/N **Required**
- f. Child abuse registry or child protective services check where permissible by law? Y/N/NA **Required**

NA: Not permissible by law

4. If the prospective staff has lived in another county and that jurisdiction is not covered by the national criminal background check utilized, does the CASA/GAL program secure county and state criminal record checks in any county and state in which the person has resided for the previous seven (7) years? Y/N **Required**

5. If the prospective staff has lived in another state in the past seven (7) years does the CASA/GAL program secure a child abuse registry or child protective services check where permissible by law in any state in which the person has resided for the previous seven (7) years? Y/N/NA **Required**

NA: Not permissible by law

6. Does the CASA/GAL program reject an applicant if he/she refuses to sign a release of information for appropriate law enforcement checks or submit to fingerprinting? Y/N
7. Does the CASA/GAL program reject for employment any applicant found to have been convicted of, or having charges pending for, a felony or misdemeanor involving a sex offense, child abuse or neglect, or related acts that would pose risks to children or the CASA/GAL program's credibility? Y/N **Required**

8. Is this rejection policy stated on the staff application form? Y/N
9. Does the CASA/GAL program's selection process for all staff include an assessment of the applicant's awareness and sensitivity to the cultural and socioeconomic differences that are present among the children and families served by the program? Y/N
10. Does the CASA/GAL program repeat the record checks for each active staff member at least every four (4) years? Y/N
11. If the CASA/GAL program permits staff to transport children or drive on behalf of the program, do they secure the following checks:
 - a. Copy of a valid and current driver's license? Y/N/NA
 - b. Proof of adequate personal automobile insurance? Y/N/NA
 - c. Motor vehicle division records check? Y/N/NA

NA: Program does not allow staff to transport children or drive on behalf of program
12. If the CASA/GAL program allows staff to transport children do they:
 - a. Obtain permission of the supervisor or director? Y/N/NA **Required**
 - b. Obtain permission of the child's legal guardian or custodial agency? Y/N/NA **Required**
 - c. Understand the potential personal risk of liability? Y/N/NA **Required**
 - d. Choose to accept the responsibility? Y/N/NA **Required**

NA: Program does not allow staff to transport children
13. When an applicant is found to have committed a misdemeanor or felony that is unrelated to or would not negatively impact the credibility of the CASA/GAL program, does the program consider:
 - a. The extent of the rehabilitation since the misdemeanor or felony was committed? Y/N
 - b. Other factors that may influence the decision to accept the applicant for employment? Y/N

F. New Staff Orientation

1. Are all staff formally oriented to the program's mission, purpose, policies and services? Y/N
2. Does the orientation and training for new employees include:
 - a. Information about confidentiality laws and the staff's responsibility to abide by these laws? Y/N

- b. Information about the CASA/GAL program's structure, service mandates, relationship to the court and professional ethics, including sexual harassment and non-discrimination policies? Y/N
 - c. Lines of accountability and authority within the program? Y/N
 - d. Information about pertinent laws, regulations and policies? Y/N
 - e. Information about the mission and purpose of CASA/GAL programs on the local, state and national levels? Y/N
 - f. Demographics of community and children served? Y/N
 - g. Staff job responsibilities and description? Y/N
3. Are newly hired directors and volunteer supervisors required to attend volunteer pre-service training? Y/N

G. Staff Training and Development

- 1. Does the CASA/GAL program plan and implement a training and development program for staff to improve their knowledge, skills and abilities? Y/N
- 2. Does the CASA/GAL program provide information about the backgrounds and needs of the children served by the program? Y/N
- 3. Is the training and development program reviewed annually and revised based on the CASA/GAL program's assessment of its training needs? Y/N
- 4. Does the training and development program require a minimum of 12 hours of continuing education annually for volunteer supervisors? Y/N
- 5. Does the training and development program provide the following:
 - a. Opportunity for staff to pursue continuing education to upgrade knowledge and skills to fulfill the requirements of their respective positions? Y/N
 - b. Information related to children who are abused and neglected and in the court system? Y/N
 - c. Information related to cultural competency, inclusion and diversity issues? Y/N
 - d. Information related to the Indian Child Welfare Act (ICWA) compliance information and resources? Y/N
 - e. Disproportionality and disparate outcomes? Y/N
- 6. Does the CASA/GAL program use a peer coordinator model (or other models utilizing volunteers coordinating other volunteers)? Y/NA
NA: If program does not use this model please mark NA for questions 7a-e and 8a-e
- 7. If the CASA/GAL program uses a peer coordinator model (or other models utilizing volunteers coordinating other volunteers) did they:

- a. Seek legal counsel before adoption so the requirements of the Fair Labor Standards Act (FLSA) and any state laws were considered? Y/N/NA
 - b. Engage in a review of insurance considerations, including workers compensation, to explore implications of such a model? Y/N/NA
 - c. Participate in learning opportunities about the model? Y/N/NA
 - d. Undergo an organizational assessment to determine need and readiness, including considerations around budget, training, recruitment, staffing and organizational culture? Y/N/NA
 - e. Develop a written plan and timeline for implementation of the model? Y/N/NA
8. Does the CASA/GAL program that adopts and implements a peer coordinator model (or other models utilizing volunteers coordinating other volunteers):
 - a. Have a written job description for the position of peer coordinator? Y/N/NA
 - b. Provide adequate supervision for the peer coordinator and hold them accountable for the performance of assigned duties and responsibilities? Y/N/NA
 - c. Have a written policy that requires a peer coordinator to participate in staff orientation, training and evaluation equivalent to that of paid staff? Y/N/NA
 - d. Maintain that an employee assigned to the supervision of a peer coordinator as a full-time function will not supervise more than 15 peer coordinators? Y/N/NA
 - e. Maintain that a peer coordinator will not oversee more than 10 volunteer advocates? Y/N/NA

H. Staff Supervision

1. Is adequate staff supervision provided by supervisors who are easily accessible? Y/N
2. Is the frequency of individual or group supervision arranged on the basis of:
 - a. Staff needs? Y/N
 - b. The complexity and size of the workload? Y/N
 - c. Familiarity with the assignment? Y/N
3. Do CASA/GAL program administrators hold regularly scheduled case conferences with supervisory staff to review progress on each case? Y/N

I. Staff Performance Evaluation

1. Is the performance of each staff evaluated:

- a. At least once a year by the person to whom she/he is accountable? Y/N
 - b. By means of a standardized evaluation form? Y/N
 - c. Against established criteria? Y/N
 - d. With the active participation of the employee? Y/N
2. Do the staff evaluations include:
 - a. An assessment of job performance in relation to the quality and quantity of work? Y/N
 - b. Criteria that reflect the job description and performance objectives established in the most recent evaluation? Y/N
 - c. Clearly stated objectives for future performance? Y/N
 - d. Recommendations for future training and skill building, as applicable? Y/N
 - e. Opportunity for self-evaluation by the employee? Y/N
3. Are the staff provided the opportunity to:
 - a. Sign the evaluation report? Y/N
 - b. Obtain a copy? Y/N
 - c. Include written comments before the report is entered into the personnel record? Y/N
4. Does the governing body:
 - a. Evaluate the performance of the chief executive officer/organization administrator in writing at least annually against written performance criteria and objectives established for the time span between evaluations? Y/N
 - b. Provide for the participation of the chief executive officer/organization administrator in the evaluation process as well as their review, signature and response to the evaluation before it is entered into the personnel record? Y/N

J. Staff Discipline and Termination

1. Do the CASA/GAL program's personnel policies and practices:
 - a. Include policies and procedures for the termination of staff that are in compliance with applicable laws and regulations? Y/N
 - b. Specify the conditions for disciplinary action? Y/N
 - c. Specify the conditions for termination of staff? Y/N
 - d. Specify violations of program policy and/or documented sub-standard performance as possible conditions for disciplinary action and/or termination? Y/N
2. Do the CASA/GAL program's policies and procedures specify the person or persons with authority to terminate or discharge a staff member? Y/N

K. Maintaining Personnel Records

1. Does the CASA/GAL program maintain a written confidential personnel record for each staff containing, as appropriate:
 - a. The staff member's original application? Y/N
 - b. Job description? Y/N
 - c. Reference documentation? Y/N
 - d. Documentation of all record checks? Y/N
 - e. Verification of education for professional and administrative personnel? Y/N
 - f. Training records? Y/N
 - g. Performance evaluations? Y/N
 - h. Disciplinary actions? Y/N
 - i. Termination summaries? Y/N
 - j. Letters of commendation? Y/N
 - k. Time attendance records? Y/N
 - l. Proof of eligibility to work in the US (I-9 form)? Y/N
 - m. Disclosure form for other paid employment, volunteer or contract work? Y/N
2. Do written policies grant staff access to their records and detail the procedures for review, addition and correction by staff? Y/N

L. Whistleblower Policy

1. Does the governing body of the CASA/GAL program have a "whistleblower policy"? Y/N
2. Does this policy provide governing body, staff and volunteers a procedure for reporting unethical, inappropriate or illegal activities that afford the reporter protection in making a good faith report? Y/N

Standard 7: Volunteer Management

A. Volunteer Recruitment

1. Does the CASA/GAL program have a written plan for recruiting and selecting volunteers who reflect the children served? Y/N
2. Does the recruitment plan demonstrate that inclusiveness and diversity are essential components of quality advocacy and include targeted strategies to attract a diverse volunteer pool? Y/N
3. Has the CASA/GAL program prepared a standardized packet of written information to recruit volunteers that includes:
 - a. The purpose and role of the CASA/GAL volunteer? Y/N
 - b. The qualifications for becoming a volunteer? Y/N
 - c. The minimum time commitment required? Y/N
 - d. Equal opportunity statement? Y/N
 - e. Media outreach? Y/N
 - f. Speaking engagements? Y/N
 - g. Community collaboration? Y/N
4. Does the recruitment plan include targeted strategies that assess the community demographics in order to attract and recruit volunteers who reflect the children served? Y/N
5. Does the CASA/GAL program inform potential volunteers about and refer them to other CASA/GAL programs, National CASA or the state CASA organization if they might be eligible for or prefer to serve in another CASA program? Y/N

B. Volunteer Application, Screening and Selection Process

1. Has each CASA/GAL volunteer been trained by the program and appointed by the court to advocate for children who come into the court system as a result of abuse and neglect? Y/N
2. Does each CASA/GAL volunteer meet the following criteria:
 - a. Minimum age of 21? Y/N
 - b. Successfully passed the application and screening process? Y/N **Required**
3. Does the program require that a qualified CASA volunteer who transfers to their program must complete, at a minimum, the training regarding the local court, laws, program policies and procedures, investigation and report writing? Y/N
4. Does the CASA/GAL program have a policy regarding the reactivation of volunteers who have been inactive for more than a year? Y/N

5. Does the policy include guidelines under which a volunteer would not have to be retrained? Y/N
6. Is each CASA/GAL volunteer determined to be an individual who respects a child's inherent right to be safe, establish permanence and have the opportunity to thrive? Y/N
7. Is each CASA/GAL volunteer determined to be an individual who ensures that the child's best interests are advocated for in the court at every stage of the case? Y/N
8. Are all volunteer applicants required to:
 - a. Complete a written application containing information about educational background and training, employment history and experience working with children? Y/N **Required**
 - b. Submit the names of three references that are unrelated to the applicant? Y/N **Required**
 - c. Authorize the CASA/GAL program and other appropriate agencies and provide the necessary information for them to secure all required record checks? Y/N **Required**
 - d. Attend and participate in personal interviews with CASA/GAL program personnel? Y/N **Required**
9. Is a formal security check conducted on all volunteer applicants? Y/N **Required**
10. Does the check include:
 - a. Social Security number verification? Y/N **Required**

If marked no, please explain in box below:

- b. Criminal records from the court jurisdiction in which the applicant currently resides and works? Y/N **Required**
- c. State criminal records? Y/N **Required**
- d. FBI or other national criminal database? Y/N **Required**
- e. National Sex Offender Registry? Y/N **Required**
- f. Child abuse registry or child protective services check where permissible by law? Y/N/NA **Required**

NA: Not permissible by law

11. If the prospective volunteer has lived in another county and that jurisdiction is not covered by the national criminal background check utilized, does the CASA/GAL

program secure county and state criminal record checks in any county and state in which the person has resided for the previous seven (7) years? Y/N **Required**

12. If the prospective volunteer has lived in another state in the past seven (7) years does the CASA/GAL program secure a child abuse registry or child protective services check where permissible by law in any state in which the person has resided for the previous seven (7) years? Y/N/NA **Required**
NA: Not permissible by law
13. Does the CASA/GAL program reject the volunteer applicant if he/she refuses to sign release of information? Y/N **Required**
14. Does the CASA/GAL program reject any applicant found to have been convicted of, or having charges pending for, a felony or misdemeanor involving a sex offense, child abuse or neglect, or related acts that would pose risks to children or the CASA/GAL program's credibility? Y/N **Required**
15. Is this rejection policy stated on the volunteer application form? Y/N
16. Does the CASA/GAL program repeat the record checks for each active volunteer at least every four (4) years? Y/N
17. When an applicant is found to have committed a misdemeanor or felony that is unrelated to or would not negatively impact the credibility of the CASA/GAL program, does the program consider:
 - a. The extent of the rehabilitation since the misdemeanor or felony was committed? Y/N
 - b. Other factors that may influence the decision to accept the applicant as a CASA/GAL volunteer? Y/N
18. Does the CASA/GAL program ensure that individuals who are not selected are treated with dignity, respect and, if appropriate, referred to alternative volunteer opportunities? Y/N
19. Does the CASA/GAL program ensure that all screening is completed and written verification is on file prior to a volunteer being assigned a case? Y/N
20. Does the program ensure that volunteers transferring from another program complete the full application and screening process? Y/N

C. Volunteer Training

1. Does the CASA/GAL program deliver training to its volunteers using the *National CASA Volunteer Training Curriculum* or its equivalent? Y/N
2. Is the training program reviewed annually and revised based upon the CASA/GAL program's assessment of its training needs? Y/N
3. Does the CASA/GAL program verify that volunteers successfully complete at least 30 hours of pre-service training before being assigned a case? Y/N

4. Does pre-service training include:
 - a. Roles and responsibilities of a CASA/GAL volunteer? Y/N **Required**
 - b. Court process? Y/N
 - c. Dynamics of families including mental health, substance abuse, domestic violence and poverty? Y/N
 - d. Relevant state laws, regulations and policies? Y/N
 - e. Relevant federal laws, regulations and policies, including the Adoption and Safe Families Act (ASFA), the Child Abuse Prevention and Treatment Act (CAPTA), the Indian Child Welfare Act (ICWA) and the Multi-Ethnic Placement Act (MEPA)? Y/N
 - f. Confidentiality and record keeping practices? Y/N
 - g. Child development? Y/N
 - h. Child abuse and neglect? Y/N
 - i. Permanency planning? Y/N
 - j. Community agencies and resources available to meet the needs of children and families? Y/N
 - k. Communication and information gathering? Y/N
 - l. Effective advocacy? Y/N
 - m. Cultural competency? Y/N
 - n. Special needs of the children served? Y/N
5. In addition to the 30 hours of pre-service training, does the CASA/GAL program require each prospective volunteer to visit the court while it is in session to observe proceedings if allowed by the court? Y/N/NA
NA: Not allowed by the court
6. Does the volunteer applicant spend a minimum of 10 hours of pre-service training in personal contact with and under the supervision of the program staff delivering the training? Y/N
7. Is the CASA/GAL volunteer sworn in by the judge before appointment to a case? Y/N
8. Does the CASA/GAL program require volunteers to complete at least 12 hours of in-service training per year? Y/N
9. Does the in-service training include information on cultural competency, disproportionality, disparate outcomes and recognizing abuse? Y/N
10. Does the CASA/GAL program provide Indian Child Welfare Act (ICWA) compliance information and resources to all volunteers? Y/N

D. Volunteer Supervision

1. Is the frequency of individual or group supervision arranged on the basis of:
 - a. Volunteer needs? Y/N
 - b. The complexity and type of case handled by the volunteer? Y/N
2. Are CASA/GAL volunteers held accountable for the performance of their assigned duties? Y/N
3. For employees assigned to supervision as a full-time function, does the employee supervise no more than 30 volunteers or a maximum of 45 cases? Y/N
4. For employees assigned to supervision as one of a number of responsibilities, are the 30:1 and 45:1 ratios reduced according to the number of work hours devoted to supervision and/or additional responsibilities the supervisor may hold? Y/N
5. Do CASA/GAL program supervisors hold regularly scheduled case conferences with volunteers to review progress on each case and written case notes? Y/N
6. Does the CASA/GAL program have in place a mechanism for volunteer recognition? Y/N
7. Does the CASA/GAL program supervisor conduct an in-person review of the case and evaluation of the volunteer's work on the case as a component of case closure? Y/N

E. Volunteer Roles and Responsibilities

1. Are the roles and responsibilities of the CASA/GAL volunteer clearly communicated through written policies, job descriptions and training, and reinforced through the supervisory process? Y/N
2. Does the CASA/GAL program maintain a current manual of volunteer policies and procedures? Y/N
3. Do volunteer policies and procedures specify the role of the CASA/GAL volunteer? Y/N
4. Does each volunteer receive a copy of the volunteer policies and procedures and provide signed acknowledgement of reading and understanding the policies? Y/N
5. Is the role of the volunteer developed with the input and approval of the court, if not already determined by statute? Y/N/NA

NA: Role already determined by statute

6. Does the CASA/GAL program ensure that the volunteer has a written job description with roles and responsibilities including:
 - a. Obtaining first-hand a clear understanding of the needs and situation of the child by reviewing all relevant documents and records and interviewing the child, parents, social workers, teachers and other persons to determine the facts and circumstances of the child's situation? Y/N

- b. Identifying and advocating for the best interest of the child? Y/N
 - c. Seeking cooperative solutions by acting as a facilitator among parties? Y/N
 - d. Providing at every hearing reports which include findings and recommendations? Y/N
 - e. Appearing at all hearings to advocate for the child's best interests and providing testimony when necessary? Y/N
 - f. Having regular and sufficient in-person contact with the child to ensure in-depth knowledge of the case and make fact-based recommendations to the court? Y/N
 - g. Making recommendations for specific appropriate services for the child and, when appropriate, the child's family? Y/N
 - h. Determining if a permanent plan has been created for the child? Y/N
 - i. Monitoring implementation of service plans and court orders ensuring that court-ordered services are implemented in a timely manner and that review hearings are held in accordance with the law? Y/N
 - j. Informing the court promptly of important developments in the case through appropriate means as determined by court rules or statute? Y/N
 - k. Advocating for the child's best interests in the community by interfacing with mental health, educational and other community systems to ensure that the child's needs in these areas are met? Y/N
 - l. Participating in all scheduled case conferences with supervisory staff? Y/N
 - m. Participating in in-service training? Y/N
 - n. Maintaining complete records about the case, including appointments, interviews and information gathered about the child and the child's life circumstances? Y/N
 - o. Returning case files to the program after the case is closed? Y/N
7. Is a volunteer's case load limited to no more than two children/sibling groups at a time unless an exception is granted? Y/N/NA *NA: not allowed more than 2 cases*
- a. If an exception is granted, is there documentation for the justification of the exception? Y/N/NA
 - b. If an exception is granted, is there a limit of five assigned cases to a volunteer? Y/N/NA
8. Do the CASA/GAL program's volunteer policies and procedures:
- a. Include requirements regarding the reporting of any incident of child abuse or neglect, or any situation in which the volunteer has reason to believe the child is in imminent danger, to the appropriate authorities and the CASA/GAL supervisor? Y/N **Required**

- b. Prohibit taking a child to the volunteer's home or any home other than the child's? Y/N **Required**
 - c. Prohibit giving legal advice or therapeutic counseling? Y/N **Required**
 - d. Prohibit making placement arrangements for the child? Y/N **Required**
 - e. Prohibit giving money to the child, the child's family or caregiver? Y/N **Required**
 - f. Prohibit giving expensive gifts to the child, the child's family or caregiver? Y/N
 - g. Require discussing all recommendations concerning the case with the program supervisor prior to submitting recommendations to the court? Y/N
 - h. Contain explicit policies prohibiting supervisors from altering reports or recommendations without the knowledge and agreement of the CASA/GAL volunteer? Y/N
 - i. Include clear policies to resolve conflicts between a volunteer and his/her program supervisor regarding the handling of a case, the reporting of information or the recommendations to be included in a report? Y/N
 - j. Contain explicit requirements that a CASA/GAL volunteer not be related to any parties involved in the case or be employed in a position and/or by an agency that might result in a conflict of interest? Y/N
 - k. Include a social media policy? Y/N
9. Does the CASA/GAL program allow volunteers to provide transportation to children? Y/NA
10. If the CASA/GAL program allows volunteers to transport children do they have the necessary liability insurance to cover the program? Y/N/NA **Required**
NA: program does not allow transport of children
11. Does the program have policies and procedures that ensure the CASA/GAL volunteer:
- a. Has passed a motor vehicles division record check? Y/N/NA **Required**
 - b. Provides annually to the program a copy of a valid current driver's license, a safe driving record and adequate personal automobile insurance? Y/N/NA **Required**
 - c. Has the required state minimum insurance, if one exists, or the program's insurance carrier minimum if absent a state minimum? Y/N/NA **Required**
 - d. Obtains permission of the supervisor or director? Y/N/NA **Required**
 - e. Obtains permission of the child's legal guardian or custodial agency? Y/N/NA **Required**
 - f. Is knowledgeable of the potential personal risk of liability? Y/N/NA **Required**
 - g. Chooses to accept the responsibility? Y/N/NA **Required**

NA: Program does not allow transportation of children

F. Dismissal of a CASA/GAL Volunteer

1. Do the CASA/GAL program's policies and practices:
 - a. Specify the conditions for disciplinary action? Y/N
 - b. Specify the conditions for non-voluntary termination of volunteers? Y/N
2. Are the following possible grounds for dismissal of a volunteer specified in the policies and procedures:
 - a. Taking action without program or court approval that endangers the child or is outside the role or powers of the CASA/GAL program? Y/N **Required**
 - b. Engaging in an ex-parte communication with the court? Y/N
 - c. Violating a program policy, court rule or law? Y/N
 - d. Failing to complete required pre-service and in-service training? Y/N
 - e. Failing to demonstrate an ability to effectively carry out assigned duties? Y/N **Required**
 - f. Falsifying his or her application or misrepresenting facts during the screening process? Y/N **Required**
 - g. Existence of child abuse/neglect allegations against the volunteer? Y/N
 - h. Existence of a conflict of interest which cannot be resolved? Y/N
3. Do the CASA/GAL program's policies and procedures specify the person or persons with authority to terminate or discharge a volunteer? Y/N

G. Volunteer Records

1. Does each volunteer record contain:
 - a. Application? Y/N
 - b. Emergency and identifying contact information? Y/N
 - c. Job description? Y/N
 - d. Reference documentation? Y/N **Required**
 - e. Documentation of all record checks? Y/N **Required**
 - f. Training records? Y/N
 - g. Performance evaluations and any other applicable documentation related to performance? Y/N
 - h. Documentation of volunteer status? Y/N

- i. Copy of current driver's license, motor vehicle records check and verification of automobile insurance (if the program allows volunteers to transport)?
Y/N/NA

NA: Program does not allow volunteers to transport.

- j. Documentation of personal interview? Y/N
2. Do written policies:
 - a. Outline when and if volunteers have access to their records? Y/N
 - b. Detail the procedures for review, addition and correction by volunteers of information contained in the record? Y/N
3. Does the CASA/GAL program retain the record after a volunteer has left the program in accordance with the program's records retention policy? Y/N

Standard 8: Public Relations

1. Does the CASA/GAL program:
 - a. Conduct an ongoing public information and education program to provide an understanding of the program's purpose, function and place in judicial proceedings and the community social service system? Y/N
 - b. Disseminate public information for the purpose of broadening awareness of the needs and problems of the children that it serves? Y/N
 - c. Make known its role, functions, and capacities to other agencies, community organizations, government bodies and corporations? Y/N
 - d. Work closely with representatives from the legal and social services communities, other child advocacy programs, community service and civic groups and businesses to accomplish its purposes and foster interagency collaboration and coordination of services? Y/N
2. Does the CASA/GAL program have a written social media policy that guides their utilization of online communication and social networking tools? Y/N
3. Does the CASA/GAL program work in partnership with the state organization and National CASA to provide timely information concerning newsworthy events, stories and occurrences which may raise awareness of the CASA/GAL movement? Y/N (*if no State organization, please answer regarding national only*)
4. Does the CASA/GAL program have a written crisis management plan that addresses issues that may have a significant impact on the credibility, reputation or funding at the local, state or national level? Y/N (*if no State organization, please answer regarding national and local only*)
5. Does the crisis management plan provide information sharing between national, state and local organizations within 24 hours and subject to confidentiality limitations? Y/N (*if no State organization, please answer regarding national and local only*)

Standard 9: Planning Evaluation

A. Data Collection

1. Does the CASA/GAL program collect the information needed to complete the National CASA Association's annual survey? Y/N
2. Does the CASA/GAL program maintain management information and data necessary to deliver, monitor and evaluate its services? Y/N
3. Does the CASA/GAL program maintain the following data on children:
 - a. Demographic information, including age, gender and ethnicity for new, active and closed cases within a specified time period? Y/N
 - b. Total number of children served within a specific time period? Y/N
 - c. Number of new children served within a specific time period? Y/N
 - d. Number of children whose cases were closed within a specific time period? Y/N
 - e. Type of case? Y/N
 - f. Type of abuse or neglect in abuse/neglect cases? Y/N
 - g. Reason for CASA/GAL case closure by the program and court? Y/N
 - h. Placement of child at time of CASA/GAL case closure by the program and court? Y/N
4. Does the CASA/GAL program maintain the following data on volunteers:
 - a. Demographic information, including age, gender, ethnicity, education and employment status within a specified time period? Y/N
 - b. Status of volunteers within a specific time period (number of assigned cases, number on inactive status, number available for a case as well as length of service with the program)? Y/N
 - c. Number of volunteer hours contributed? Y/N
 - d. Total length of time volunteer is assigned to each case? Y/N
 - e. Reason for volunteer departure? Y/N
5. Does the CASA/GAL program maintain the following additional information:
 - a. Number of children in the court's jurisdiction needing CASA/GAL volunteers versus number of CASA/GAL volunteers assigned to cases? Y/N
 - b. Case outcomes? Y/N
 - c. Any other data required by funding sources? Y/N

6. When the CASA/GAL program develops and/or participates in a computerized information system, are the following safeguards implemented:
 - a. Operational procedures governing use of the system and software? Y/N
 - b. Confidentiality policies concerning electronic data and information sharing via electronic media? Y/N
 - c. Mechanism for review of all decisions regarding computerized files by agency management? Y/N

B. Program Planning

1. Does the CASA/GAL program engage in ongoing and systematic planning to determine the scope of need for its services and how its services can most effectively be delivered? Y/N
2. During the planning process, is input sought from the CASA/GAL program's governing body, staff, volunteers and local community, as appropriate to the program's structure? Y/N
3. Does the planning process include the following:
 - a. Identifying advocacy needs of the child population served by the CASA/GAL program? Y/N
 - b. Documenting long- and short-term measurable goals for child outcomes, volunteers and resource development? Y/N
 - c. Determining objectives related to goals and carrying out those tasks, with related timeframes and specified person responsible? Y/N
 - d. Assessing and tracking progress? Y/N
 - e. Listing resources needed for achieving goals? Y/N
 - f. Assessing management's capacity to carry out the planning effort? Y/N

C. Program Review

1. Does the CASA/GAL program complete an evaluation/program review at least once every two years? Y/N
2. Does the evaluation/program review include the following:
 - a. Degree to which the program identifies and meets the advocacy needs of the children it serves? Y/N
 - b. Changing demographics, increased community need, over-utilization and other reasons indicating a need to expand service, establish a priority system or refrain from increasing the caseload size carried by the program? Y/N
 - c. Effectiveness of the services based on predetermined definitions and criteria? Y/N

- d. Progress made in implementation of the inclusiveness and diversity plan? Y/N
- 3. Does the CASA/GAL management:
 - a. Submit results of its planning and evaluation processes to the governing body? Y/N
 - b. Share findings with personnel and volunteers? Y/N
 - c. Disseminate information or findings to funders, the courts and other community agencies as appropriate? Y/N

Standard 10: Financial, Facility, and Risk Management

A. Budgeting

1. Does the CASA/GAL program have a written budget? Y/N
2. Is the written budget based on:
 - a. Funding anticipated during the program year? Y/N
 - b. Fixed and incremental costs of operating the CASA/GAL program and identification of potentially changing costs and conditions? Y/N
3. Is the budget reviewed and approved by the governing body prior to the beginning of the fiscal year? Y/N
4. Does the governing body or its designee review and approve all deviations from and revisions to the budget? Y/N

B. Financial Resources

1. Does the CASA/GAL program follow a written plan for securing and maintaining diversified financial resources adequate to accomplish its established goals and objectives? Y/N
2. Does the CASA/GAL program maintain its tax-exempt status from the Internal Revenue Service? Y/N/NA NA: *Publicly-administered program*
3. Does the CASA/GAL program seek to conserve its financial resources by:
 - a. Taking advantage of benefits allowed tax exempt organizations? Y/N/NA
 - b. Maintaining sound policies regarding purchasing and inventory control? Y/N
 - c. Using competitive bidding in accordance with board policy and law or regulation? Y/N/NA
4. Does the CASA/GAL program regularly analyze:
 - a. Cost of operations? Y/N
 - b. Current and potential funding sources? Y/N
 - c. Allocation of funds? Y/N
 - d. Effectiveness in achieving budget objectives? Y/N

C. Financial Reporting and Accountability

1. Is the CASA/GAL program accountable to its governing body for prudent financial management? Y/N

2. Does the CASA/GAL program ensure that an annual report that includes financial, statistical and service data summary information is developed?
Y/N

Questions 3-10b are for non-profit organizations. If the program is publicly administered, please mark NA to questions 3-10b.

3. Is an IRS Form 990 completed annually and filed in a timely manner?
Y/N/NA
4. If the actual expenditure of funds exceeds \$500,000 annually, is an audit of the nonprofit CASA/GAL program's financial statements performed by an independent certified public accountant, in accordance with generally accepted accounting standards, within nine months of the end of the fiscal year? Y/N/NA **Required**
5. If the actual expenditure of funds exceeds \$350,000 and is less than \$500,000 annually, is an audit of the nonprofit CASA/GAL program's financial statements performed by an independent certified public accountant, in accordance with generally accepted accounting standards, a minimum of every other year and within nine months of the end of the fiscal year? Y/N/NA **Required**
6. If the actual expenditure of funds exceeds \$200,000 and is less than \$350,000 annually is an audit of the nonprofit CASA/GAL program's financial statements performed by an independent certified public accountant, in accordance with generally accepted accounting standards, a minimum of every three (3) years and within nine months of the end of the fiscal year? Y/N/NA **Required**
7. If the actual expenditure of funds exceeds \$75,000 and is less than \$200,000 annually, is an audit of the nonprofit CASA/GAL program's financial statements performed by an independent certified public accountant, in accordance with generally accepted accounting standards, a minimum of every four (4) years and within nine months of the end of the fiscal year? Y/N/NA **Required**
8. Additionally, does the program:
- Designate a committee of the governing body, such as finance or audit review committee, or does a designated member of the governing body review the audit findings and meet with the independent auditor as necessary? Y/N/NA
 - Is the auditor's report reviewed and formally approved or accepted by the governing body and made available for public inspection?
Y/N/NA
 - If a management letter has accompanied the audit, does the nonprofit CASA/GAL program's governing body promptly review and insure that management acts on its recommendations? Y/N/NA

- d. Does the CASA/GAL program send to National CASA any audit findings or questioned costs from any private or government audit/monitoring report? Y/N/NA
- 9. If the actual expenditure of funds is less than \$75,000 annually, is a financial review of the nonprofit CASA/GAL program's financial statements performed by an independent certified public accountant, in accordance with generally accepted accounting standards, a minimum of every four (4) years and within nine months of the end of the fiscal year? Y/N/NA **Required**
- 10. Additionally, does the program:
 - a. Designate a committee of the governing body, such as finance or audit review committee, or a designated member of the governing body review the financial review findings and meet with the independent CPA as necessary? Y/N/NA
 - b. Is the CPA's report reviewed and formally approved or accepted by the governing body and made available for public inspection? Y/N/NA

Question 11 refers to publicly administered programs. If the CASA/GAL program is a non-profit organization, please mark NA to question 11.

- 11. Is an audit conducted periodically, covering all years since the previous audit, in accordance with laws or regulations governing audit of a public agency's financial operations? Y/N/NA
 - a. If yes, does an independent auditor conduct the audit? Y/N/NA

Questions 12-16 refer to CASA/GAL programs that have annual audits performed. If no audit is performed, please mark NA to questions 12-16.

- 12. Does the designated committee or person meet with the independent auditor as necessary? Y/N/NA
- 13. Is the auditor's report reviewed and formally approved or accepted by the governing body? Y/N/NA
- 14. Does the governing body ensure that program personnel act on the recommendations set forth in the management letter? Y/N/NA
- 15. Does the CASA/GAL program send to National CASA any audit findings or questioned costs from any private or government audit/monitoring report? Y/N
- 16. Is the report made available for public inspection upon request? Y/N/NA

D. Financial Accounting and Record Keeping

1. Does the CASA/GAL program receive, disburse and account for its funds in accordance with sound financial practices and generally accepted accounting principles? Y/N
2. Does the CASA/GAL program adhere to written operational procedures in regard to accounting control? Y/N
3. Do the written operational policies and procedures include:
 - a. Internal financial controls? Y/N
 - b. Descriptive chart of accounts? Y/N
 - c. Prompt and accurate recording of revenues and expenses? Y/N
 - d. Maintenance of a filing system that contains account records and receipts? Y/N
 - e. Safeguarding and verification of assets? Y/N
 - f. Control over expenditures? Y/N
 - g. Separation of duties to the extent possible? Y/N
 - h. Handling of and requirements for reserves, endowments and investments? Y/N
4. Does the governing body review and monitor the CASA/GAL program's fiscal management? Y/N
5. Does the non-profit CASA/GAL program make timely payments to the Internal Revenue Service and to other taxing authorities, as required by law? Y/N/NA
Required
6. Does the program use a financial management system that ensures the segregation of restricted funds? Y/N
7. If the CASA/GAL program has the fiscal authority, do its policies and procedures require that:
 - a. All personnel with fiscal responsibilities are oriented to the bookkeeping system and are advised with regard to any changes? Y/N/NA
NA: CASA/GAL program does not have the fiscal authority
 - b. Systems are in place to prevent or detect fraud or abuses of the system, such as control, use and review of the system by more than one person? Y/N/NA
NA: CASA/GAL program does not have the fiscal authority
8. Are the accounting records of the CASA/GAL program kept up-to-date and reconciled on a monthly basis? Y/N
9. Are bank statements reconciled to the general ledger on a monthly basis? Y/N

E. Resource Development

This section refers to non-profit organizations. If the program is publicly administered, mark NA to questions 1-5.

1. Does the non-profit CASA/GAL program's board of directors set policies and exercise control over fundraising activities carried out by its employees and volunteers? Y/N/NA
2. Does the CASA/GAL program provide funders with an accurate description of the program, its purpose and services, and the financial needs for which the solicitation is being made? Y/N/NA
3. Does the CASA/GAL program register with the applicable state agency to conduct charitable solicitations? Y/N/NA
4. Does the CASA/GAL program spend funds for the purposes for which they were solicited, except for reasonable costs for administration of the fundraising activities? Y/N/NA
5. Does the CASA/GAL program establish controls on processing and acknowledging contributions in accordance with applicable laws? Y/N/NA

F. Facility and Workplace Management

1. Does the CASA/GAL program operate in offices that provide a safe, well-maintained physical environment for its personnel, volunteers and visitors? Y/N
2. Are the CASA/GAL program's facilities in full compliance with applicable health, fire safety and accessibility codes and regulations? Y/N
3. Does the nonprofit CASA/GAL program plan for the disposition of property in the event of its dissolution? Y/N
4. Does the CASA/GAL program take responsible measures to maintain its equipment and ensure it is used as intended? Y/N

G. Risk Management

1. Does the CASA/GAL program protect its physical, human and financial resources by evaluating and preventing or reducing the risks to which they are exposed? Y/N
2. Does the CASA/GAL program have liability protection for the governing body, organization, staff and volunteers through the court, state statute or private insurance? Y/N
3. Does the governing body have responsibility for determining the extent and nature of the liability protection needed for personnel and volunteers, when applicable laws are unclear or silent? Y/N
4. Does the CASA/GAL program evaluate and reduce potential liability by:

- a. Assigning the risk management function to a person or committee whose job description includes responsibility for risk management policies and activities? Y/N
 - b. Ensuring that appropriate bonding, self-insurance or external coverage is adequate to meet the potential liability of the CASA/GAL program? Y/N
 - c. Developing a process to identify risks in terms of their nature, severity and frequency? Y/N
 - d. Avoiding risk through loss prevention and risk reduction? Y/N
 - e. Evaluating and monitoring the effectiveness of the risk management function? Y/N
 - f. Determining how often records checks are required on governing body, staff and volunteers? Y/N
5. Does the CASA/GAL program carry workers' compensation insurance, and other insurance deemed necessary, based upon an evaluation of the program's risks? Y/N
 6. Does the CASA/GAL program inform its governing body members, officers, employees and volunteers of the amount and type of insurance coverage that is provided on their behalf by the program? Y/N
 7. Does the CASA/GAL program annually review its insurance coverage with its insurance carrier to ensure adequate coverage? Y/N

Standard 11: Record Keeping

A. Case Records

1. Does the CASA/GAL program maintain, for each child served, a case record that includes:
 - a. Biological or other identifying information? Y/N
 - b. Background on the nature of the presenting problem or reason for referral by the court? Y/N
 - c. Court reports and any court orders related to the service being provided? Y/N
 - d. The social service case plan? Y/N
2. Are all records for children served kept up to date through:
 - a. Current contact entries? Y/N
 - b. Periodic progress notes or summaries? Y/N
3. Are the entries made in the case record specific, factual and pertinent to the nature of the service? Y/N
4. Does the CASA/GAL program maintain copies of all volunteer reports, correspondence and notes from telephone or in-person consultations concerning the case? Y/N
5. Does the CASA/GAL program require its volunteers to turn in their case records, including all notes and written materials, when the case is closed? Y/N **Required**
6. Does the CASA/GAL program, upon termination of service, have a closing summary of the case entered into the case file? Y/N
7. Does the CASA/GAL program have written operational procedures, consistent with legal requirements and with the policy on confidential information governing retention, maintenance, protection, duration and return of case files when the case is closed? Y/N
8. Do these written operational procedures include:
 - a. Hard copy files are kept a minimum of seven (7) years from case closure unless there is a court or statutory requirement that dictates otherwise? Y/N/NA *NA: Program keeps electronic files*
 - b. Electronic children's case records are kept a minimum of seven (7) years from case closure unless there is a court or statutory requirement that dictates otherwise? Y/N/NA *NA: Program keeps hard copy files*
 - c. Electronic children's case files are backed up on a separate system at least once a week and the backup is kept off-site? Y/N/NA *NA: Program keeps hard copy files*

9. Does the CASA/GAL program have established procedures for the legal and programmatic release, in writing, of volunteers when a case is closed or when a volunteer is removed from a case? Y/N **Required**
10. Does the CASA/GAL program have established procedures for encrypting confidential email messages sent through public accounts? Y/N

B. Acceptance, Assignment and Closure of Cases

1. Are cases accepted by the program without discrimination based on a child's gender, sexual orientation, race, ethnicity, nationality, disability or religion? Y/N
2. Is a CASA/GAL volunteer assigned at the earliest possible stage of the court proceedings? Y/N
3. Do the judge and the program's administrator determine which cases are to be referred to the CASA/GAL program? Y/N
4. Is the written referral criteria reviewed and renewed at least every four years and changed as program resources change? Y/N
5. Are all appointments and assignments made by an appropriate written order of the court? Y/N
6. Does the CASA/GAL program, in cooperation with the court, retain the right to determine which referred cases it can appropriately serve, within the limits of its resources, capacities, statutory authority and mission? Y/N
7. Do the CASA/GAL program and/or the court notify all parties and agencies involved in the case of the CASA/GAL volunteer's appointment and release? Y/N
8. Are ethnicity, national origin, race, gender, religion, sexual orientation, physical ability and social economic status considered in the appointment of volunteers to cases? Y/N
9. Are volunteers assigned to cases with consideration to their experience, knowledge, skills, availability and case type preference? Y/N
10. In determining volunteer caseload size, does management or supervisory personnel assess the following:
 - a. Nature and difficulty of the current caseload and proposed case? Y/N
 - b. Specific circumstances and availability of the volunteer? Y/N
11. Does the CASA/GAL program maintain case assignment records? Y/N
12. Do these records include:
 - a. Name of volunteer? Y/N
 - b. Name of the child? Y/N
 - c. Date of assignment? Y/N
 - d. Date of release? Y/N

Standard 12: National Affiliation

1. Is the program a full member of the National CASA Association? Y/N **Required**
2. Does the CASA/GAL program take advantage of the services offered by the National CASA Association including:
 - a. Technical assistance? Y/N
 - b. Resource materials? Y/N
 - c. National conference? Y//NA No: Chose not to attend; NA: Unable to attend
 - d. Training opportunities? Y/N
 - e. Web resources? Y/N
3. Does the CASA/GAL program use the National CASA trademark logo as their official logo or prominently display the National CASA Association member logo on all their promotional, public relations, recruitment and training materials? Y/N
4. When using the National CASA trademark, including taglines, slogans and logos, does the program adhere to National CASA graphic standards? Y/N **Required**
5. Does the program use the name CASA, GAL or identify itself as a member of the National CASA Association on all:
 - a. Promotional materials? Y/N
 - b. Public relations materials? Y/N
 - c. Recruitment materials? Y/N
 - d. Training materials? Y/N
6. Does the program adhere to the National CASA Association:
 - a. Resource development protocol? Y/N
 - b. Government relations protocol? Y/N
 - c. Other approved protocols of National CASA? Y/N
7. If the local program has a program auxiliary or affiliate, does the program make that entity aware of National CASA standards and protocols? Y/N/NA
8. Does the program collect and submit data to National CASA as requested? Y/N
9. Does the program provide a copy of the *Standards for Local CASA/GAL Programs* to its governing body and supervisory staff? Y/N

Standard 13: State Affiliation

1. Does the CASA/GAL program comply with all state laws, regulations, administrative and court rules? Y/N
2. Is the CASA/GAL program a member of or affiliated with the state CASA/GAL organization? Y/N/NA

NA: No state organization

3. Does the CASA/GAL program take advantage of the services available from the state organization including:
 - a. Technical assistance? Y/N/NA
 - b. Resource materials? Y/N/NA
 - c. State conference? Y/N/NA
 - d. Local program directors meetings? Y/N/NA
 - e. Training opportunities? Y/N/NA
 - f. Web resources? Y/N/NA

NA: No state organization

4. Is the CASA/GAL program in compliance with state organization standards? Y/N/NA

NA: No state organization or state standards

If not, please explain why and what course of action is being taken to come into compliance:

5. Does the CASA/GAL program act in a manner consistent with any agreements made with the state organization? Y/N/NA

NA: No state organization

6. Does the program inform the state organization of any significant event in the operation of the program that could affect other local programs, the state organization or the National CASA Association? Y/N/NA

NA: No state organization

Question 7 refers to tribal programs. If not a tribal program, please mark NA.

7. Recognizing the unique relationship between tribal programs and state organizations:
 - a. Is there mutual collaboration between the program and the state organization?
Y/N/NA

Standard 14: New Program Development, Implementation and Expansion

(Please answer NA for all questions if program has had no expansion into another jurisdiction))

1. If the CASA/GAL program expanded into another jurisdiction were the following steps taken prior to the expansion taking place:
 - a. Consult with the state office and National CASA regarding the desire to expand into another jurisdiction? Y/N/NA
 - b. Make an assessment of how expansion will impact the program and service in the original jurisdiction? Y/N/NA
 - c. Contact all judges (including referees, commissioners, hearing officers, magistrates) in the jurisdiction that hear child abuse and neglect cases prior to expansion to gain judicial support? Y/N/NA
 - d. Conduct a needs assessment and create a written document to confirm the need for expansion? Y/N/NA
2. Did the needs assessment include:
 - a. Interviews with key players (for example, judges, child protective services personnel, prosecutor, state CASA/GAL director, adjacent local CASA/GAL program directors, guardian ad litem attorneys and community child advocates)? Y/N/NA
 - b. Baseline statistics including the number of reports and substantiations of suspected child abuse and neglect in the area; number of petitions filed over the past five years; number and demographics of the children before the court and in foster care; average length of stay of children in foster care; duration of the court process in child abuse cases; and permanency outcomes for children? Y/N/NA
 - c. Current process for representation of child's best interest, wishes and legal rights before the court and who serves in those capacities? Y/N/NA
3. Did the CASA/GAL program conduct a feasibility study and create a written document to confirm the feasibility of expansion into the jurisdiction? Y/N/NA
4. Did the feasibility study include:
 - a. An assessment of community support, including financial support and availability? Y/N/NA
 - b. Human resources (board members, volunteers and other leaders for the program)? Y/N/NA
 - c. An assessment of the community's ability to sustain the program? Y/N/NA
5. Did the CASA/GAL program inform the state office and National CASA of their findings and decision regarding expansion? Y/N/NA