

# 2020 NATIONAL CASA STANDARDS

Overview of the new Standards

Overview of the Q&A Process



- ▶ Two Sets of Standards:
  - ▶ Nonprofit Program Standards
  - ▶ Publicly Administered Program Standards
- ▶ Timeline:
  - ▶ 2020 Standards effective January 1, 2021
  - ▶ Document Collection and Review: January 1, 2022 – April 30, 2022
    - ▶ Submission to National CASA
  - ▶ Site Visits: 2022 – 2024
    - ▶ Likely done by Ohio CASA

# GENERAL OVERVIEW



# Standards at a Glance

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## STANDARD 1

### Core Model and Mission

Adheres to the National CASA/GAL Association for Children's Core Model of providing screened, trained, and qualified community court appointed volunteers to advocate for the best interests of children and youth who are before the court as a result of abuse or neglect as defined by the state child welfare laws, living at home or in out-of-home care, as well as operates in alignment with the mission. CASA/GAL volunteers advocate for children from birth through the age defined by the state statute as the limit to youth remaining in care.

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## STANDARD 2

### Guiding Principles

Provides best-interest advocacy for children as reflected in these guiding principles which recognize the importance of family preservation and reunification, equity, diversity, inclusion and collaboration.

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## STANDARD 3

### Diversity, Equity and Inclusion

Commits to diversity, equity and inclusion and demonstrates these qualities in its own operations, governance, management and quality advocacy for children.

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## STANDARD 4

### Ethical Conduct and Confidentiality

Upholds the credibility, integrity, dignity and reliability of CASA/GAL advocacy by conducting all interactions in an honest, fair, respectful and compassionate manner. The program incorporates policies and practices to avoid conflicts of interest and preserve confidentiality.

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## STANDARD 5

### Governance and Administration

Oversees and ensures compliance with applicable laws, regulations, fiduciary obligations, written agreements, standards and financial sustainability of the program.

## STANDARD 6

### Management and Funding

Demonstrates mission-oriented leadership in operations management and is a responsible steward of all resources in order to maximize advocacy for children who are eligible for and in need of a CASA/GAL volunteer.

## STANDARD 7

### Human Resources

Follows written policies for recruiting, screening, training, supervising, evaluating and developing staff from diverse backgrounds in an equitable and inclusive environment that advances the CASA/GAL mission.

## STANDARD 8

### Volunteer Administration

Follows written policies for recruiting, screening, training, supporting, supervising, recognizing and retaining volunteers to fulfill the role and duties of court appointed special advocates/guardians ad litem, in accordance with applicable laws, rules, regulations and standards.

## STANDARD 9

### Public Education and Engagement

Communicates and actively engages with stakeholders and the general public to provide information and build support for the CASA/GAL mission, and the needs of children who have experienced abuse or neglect.

## STANDARD 10

### Data and Records

Compiles, maintains, manages and reports quality data and information in accordance with applicable laws, policies and/or standards. The program maintains complete, accurate and current case records and volunteer files.

## STANDARD 11

### Network and Membership

Maintains membership with National CASA/GAL Association and is a member or an affiliate of the state CASA/GAL organization (if one exists) and meets the standards, requirements and policies of both.

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## Standard 1: Core Model and Mission

- ▶ Add values statement
- ▶ Mission and Values signed/approved by Board or Administrative Body

## Standard 2: Guiding Principles

- ▶ New Standard – no additional documents
  - ▶ Family preservation and reunification
  - ▶ Provide training on the guiding principles
  - ▶ Staff/board orientation and training documentation

## Standard 3: Diversity, Equity and Inclusion

- ▶ Annual requirements for volunteers, staff and board to receive continuing education in regards to Diversity, Equity and Inclusion
- ▶ Need Equal Employment Opportunity Policy, Anti-discrimination policy, and Anti-Harassment Policy

# STANDARDS 1 - 3



## Standard 4: Ethical Conduct and Confidentiality

- ▶ Conflict of Interest signed by all staff, volunteers and board members annually
- ▶ Confidentiality Statement signed by all staff, volunteers and board members
  - ▶ Volunteers sign confidentiality statement upon acceptance of each case
- ▶ Written policy to protect confidential information of staff, volunteers, governing board and advisory committee members, and donors

STANDARD 4



## Standard 5: Governance and Administration

- ▶ All policies need to be reviewed every 3 years (unless stated otherwise)
  - ▶ Put date of review on all policies and procedures
- ▶ Background checks: Social security check or the equivalent that allows for additional names, aliases and/or addresses to be obtained for the individual for further checks
  - ▶ Includes board members in background checks
- ▶ Nonprofit Board members:
  - ▶ Recruitment plan or Board Matrix- must include measurable goals and strategies
  - ▶ Orientation to include NCASA Core Model, Roles and Standards
  - ▶ Written plan for ongoing training and development for Board members – reviewed and evaluated annually

## STANDARD 5



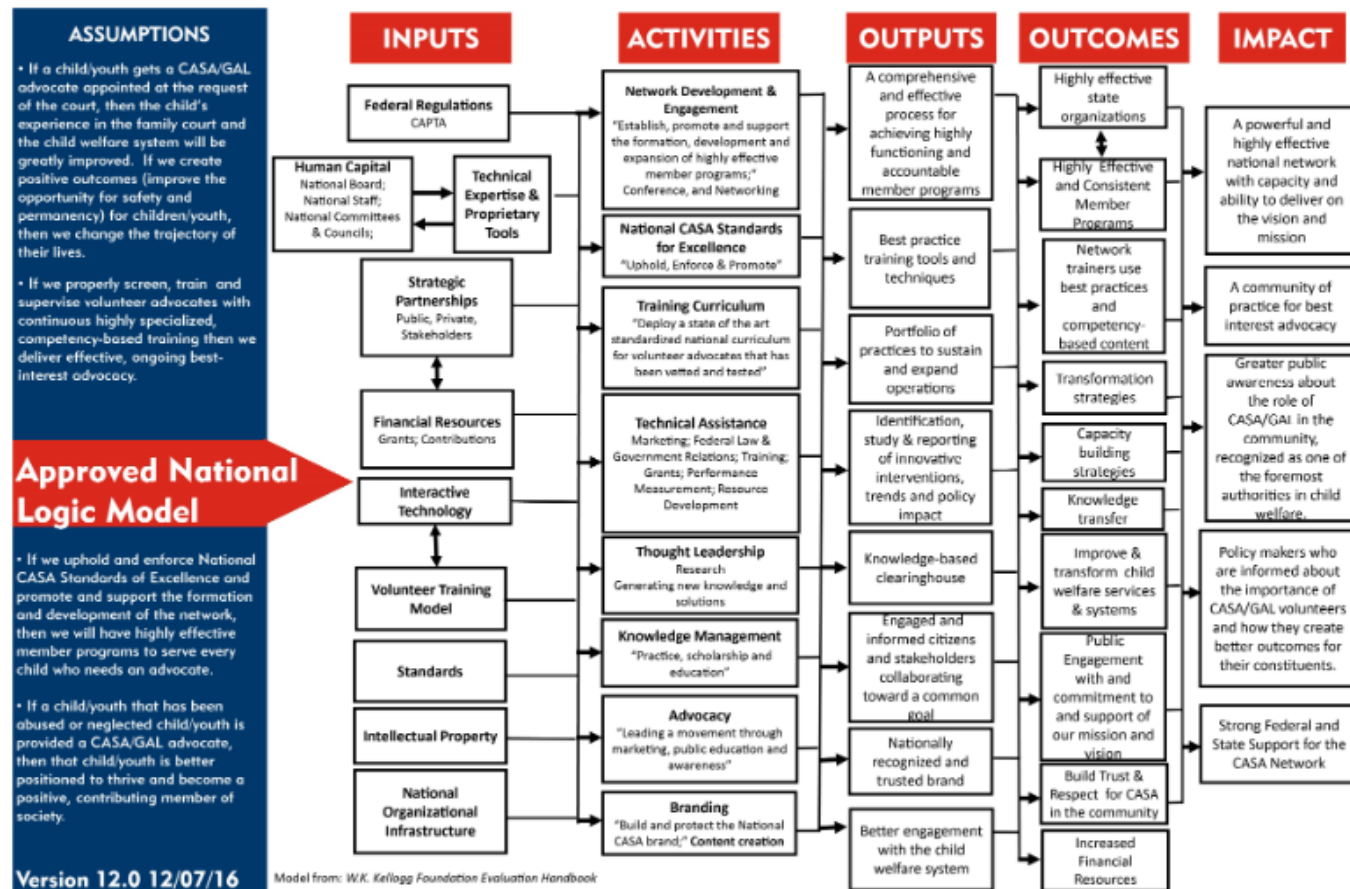
## Standard 6: Management and Funding

- ▶ Logic Model – evaluated annually
- ▶ Financial audits, reviews and compilations changed, based on revenue not expenditures
  - ▶ Court based programs: Fiscal reports may be generated by another department/division, and a program director may have little involvement in fiscal oversight. However, it is important to have access to fiscal reports and to be able to create an annual report
- ▶ Purchasing and Inventory Control Policy (Procurement Policy)
- ▶ Procedure to safeguard emails (communications policy)
- ▶ Annual motor vehicle check for programs allowing transportation of children
- ▶ Plan for disposition of property in event program is dissolved (non profit programs)

## STANDARD 6



# National CASA Logic Model





Annual Program Revenue	Time Requirement	Required Level of Independent Review	Acceptable Service Provider
> \$500,000	Annual	Audit	Independent CPA
\$250,000 - \$500,000	Annual	Financial Review	Independent CPA
< \$250,000	Annual (Independent CPA review recommended every 3 years)	Financial Compilation	Qualified Individual

## STANDARD 6

## Standard 7: Human Resources

- ▶ Succession Plan for key staff
- ▶ HR policies:
  - ▶ Include policy requiring all staff and contract workers to disclose any paid employment, contract work, volunteer service or membership on a board of directors that might present conflict of interest
- ▶ Staff Orientation: includes NCASA Core Model, NCASA Standards, Role of the Local Program and Program Policies and Procedures
- ▶ Newly Hired program directors and volunteer supervisors complete NCASA pre-service training within 6 months of hire
- ▶ Professional Development Plan for Staff
- ▶ Maintains files on staff, along with list of documents to be kept separate (7(G)(2))

## STANDARD 7

## Standard 7: Human Resources

- ▶ Peer Coordinator Model consideration:
  - ▶ Notify NCASA of intent to explore or implement model; review Fair Labor Standards Act, review insurance, undergo organizational assessment to determine readiness; develop written plan for implementation
- ▶ Peer Coordinator Implementation:
  - ▶ Written job description of peer coordinator
  - ▶ Adequate supervision for peer coordinators
  - ▶ Written policies for peer coordinator; includes orientation, training and evaluations similar to paid staff
  - ▶ Staff assigned to supervise peer coordinator full time can supervise up to 10 peer coordinators
  - ▶ Peer coordinator can supervise up to 10 volunteers
  - ▶ Establish a plan for managing cases assigned to peer coordinator in event that he/she leaves or becomes unavailable

# STANDARD 7 (CONT.)

## Standard 8: Volunteer Administration

- ▶ Written Recruitment Policy for recruiting and selecting volunteers who reflect diversity of children served
  - ▶ Recruitment plan includes guiding principles, measurable goals, and strategies to attract diverse volunteer pool
- ▶ Program responds to all potential volunteer inquiries within 5 business days
- ▶ Volunteer Policies and Procedures
  - ▶ Signed acknowledgement
  - ▶ Signed Social Media Policy
  - ▶ Signed Conflict of Interest Policy
  - ▶ Signed Confidentiality Policy

## STANDARD 8



## Standard 8: Volunteer Administration

- ▶ Training
  - ▶ Pre-Service training documentation includes verification of facilitator training
  - ▶ NCASA Pre-service training delivered by qualified facilitator:
    - ▶ Completed NCASA Training of Facilitators
    - ▶ Co-facilitates first pre-service training with a qualified facilitator who has completed NCASA Training of Facilitators
  - ▶ Training Records kept on all volunteers:
    - ▶ Training dates; name of facilitator; participant attendance and completion records
  - ▶ No guest speakers to facilitate NCASA training
  - ▶ Prohibits use of retired curriculum/materials
  - ▶ Facilitators required 12 hours of continuing education to include facilitation, child welfare, and CASA mission

# STANDARD 8 (CONT.)



## Standard 8: Volunteer Administration

- ▶ Volunteer Performance Evaluation
- ▶ Volunteer Retention Plan
- ▶ When a program allows volunteers or staff to take photos of children, the program has written policies that guide the purpose, use, distribution, storage and destruction of the photos after case closure
  - ▶ Policies allow photos only when:
    - ▶ Required or required by the court to be included with or in the court report, or
    - ▶ Written permission is obtained from legal guardian
  - ▶ Policies prohibit use of photos for social media, marketing or personal use unless written authorization is provided by the legal guardian
- ▶ Grounds for dismissal: addition of 'failing to effectively carry out assigned duties, which may include not following program director or guidance'


## STANDARD 8 (CONT.)



## Standard 9: Public Education and Engagement

- ▶ Written plan for public information, outreach and education activities
- ▶ Written communication policy that:
  - ▶ Aligns with NCASA brand guides and intellectual property standards
  - ▶ Outlines appropriate contact with media and an escalation protocol for state and national inquiries
  - ▶ Identifies who communicates with public
  - ▶ Addresses use of social media
  - ▶ Describes when to escalate issues to program, state organization and NCASA leadership


## STANDARD 9



Lend your voice.  
BECOME A GAL VOLUNTEER.

[FIND OUT HOW](#)

CHANGE A  
CHILD'S STORY.™

 **GAL**  
Guardian of Literacy  
FOR CHILDREN

## Standard 10: Data and Records

- ▶ Program collects information for NCASA six-month and annual survey
- ▶ Program has operational procedures for data collection or software
- ▶ Operational procedures, consistent with legal requirements, and with the policy on confidential information, governing the retention, maintenance, protection and destruction and return of case files when case is closed
  - ▶ 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

STANDARD 10

NATIONAL  
CASA/GAL  
ASSOCIATION  
FOR CHILDREN  
MEMBER



## Standard 11: Network and Membership

- ▶ If the program has an auxiliary, the program has a written agreement with the auxiliary and follows any NCASA policies relating to working with the auxiliary
- ▶ Existing programs contemplating expansion to a new county, regionalization, merger, or a change in governance structure must adhere to the applicable procedures of the NCASA Program Membership Process

# STANDARD 11

## QA Process: What we know so far...

- ▶ Document submission:
  - ▶ Document submission based on documentation list at the end of the standards document
  - ▶ Starts January 1, 2022 with documents due April 30, 2022 for all programs
- ▶ Questionnaire completion:
  - ▶ Yes/no questions about whether elements of practice are in place
  - ▶ Open-ended explanatory questions – more narrative allowing programs to describe how they carry out the specific elements of practice within their organization
- ▶ Virtual or Onsite Interviews:
  - ▶ Periodic in-person/virtual interviews during the interim 3-year period with interviews of staff, volunteers, judges, and other local program stakeholders

# QA PROCESS



## Documentation List

- ▶ Located at end of the standards
- ▶ Any document in bold represents the documents required to be submitted to NCASA as a part of the QA process:
  - ▶ Logic Model
  - ▶ Growth Plan (if not serving 100% eligible children)
  - ▶ Annual Financial Statements/Management Letter
  - ▶ Peer Coordinator Model documents, if applicable
  - ▶ Board meeting minutes (or court meeting minutes...) documenting key activities for the program and policy adoption or review

# DOCUMENTATION LISTS



- ▶ Submit documents listed in bold
- ▶ Submit governing body's review/approval of the documents/policies that are in place
  - ▶ Nonprofit: submit board minutes noting when the review or approval occurred for respective items
    - ▶ Minutes to reflect what occurred, when it occurred and for what specific documents or policies
      - ▶ i.e. Some boards review the policies in committees that review/revise assigned policies and make recommendations to the full board for review; others have the full board review a policy or a few policies at each board meeting or various policies at their annual meeting, note the review and re-adoption or approving as revised.
  - ▶ Publicly Administered Programs: court or administrative authority would be the party to review the CASA program's policies to make sure they adhere to NCASA standards
    - ▶ If Blanket statement of approval from court: need to identify the actual policies/documents and when the review occurred or statement was being made in order to be sufficient evidence

# DOCUMENT SUBMISSION



# Standards for Local CASA/GAL Programs Documentation List

## PROGRAMS STRUCTURED AS NONPROFITS

This list has been prepared to provide local CASA/GAL program staff the documents or type of documentation that will or can help to substantiate the Elements of Practices for these local Standards. The documents are organized by standard and are listed in the order in which they appear and/or are applicable in the *Standards for Local CASA/GAL Programs*. Note: Any documents in **bold** represents the documents required to be submitted to National CASA/GAL as a part of the self-assessment phase of the local quality assurance (QA) process. Other documents may be reviewed during the QA process but are not necessarily required for submission.

### STANDARD 1

- ☐ Mission statement with proof and date of adoption by the governing board
- ☐ Written values with proof and date of adoption by the governing board
- ☐ Board minutes reflecting board adoption of the mission and values

### STANDARD 2

- ☐ Court report(s) (report template and redacted samples)
- ☐ Documentation of orientation materials, including guiding principles topics for staff and governing board members (table of contents, agenda and/or materials - may be included in orientation or onboarding materials)

- ☐ Record/documentation of orientation attendance or dates of completion for staff and governing board members

### STANDARD 3

- ☐ Diversity, equity and inclusion plan(s) with proof and date of adoption by the governing board (These plans may be separate or combined)
- ☐ Confirmation/documentation of annual diversity, equity and inclusion training for staff, volunteers and nonprofit governing board members
- ☐ Equal employment opportunity (EEO) policy\*
- ☐ Anti discrimination policy\*
- ☐ Anti harassment policy\*

\* These may be included in human resources policies or separate documents. See also Standard 7 below.

- ☐ Board minutes reflecting review of and/or updates to required plans and policies included in this standard

### STANDARD 4

- ☐ Conflict of interest policy with proof and date of governing board approval
- ☐ Signed, dated conflict of interest policy, statement or agreement for each staff person, paid consultants and governing board members
- ☐ Confidentiality policy with proof and date of adoption by the governing board
- ☐ Release of information policy/protocol (This may be included in the confidentiality policy)
- ☐ Signed, dated confidentiality policy, oath or agreement from each volunteer, staff person and governing board member
- ☐ Policy for protection of non-case information (This may be combined with or included in confidentiality policy or records retention policy)

# Standards for Local CASA/GAL Programs Documentation List

## PUBLICLY ADMINISTERED PROGRAMS

This list has been prepared to provide local CASA/GAL program staff the documents or type of documentation that will or can help to substantiate the elements of practices for these local Standards. The documents are organized by standard and are listed in the order in which they appear and/or are applicable in the *Standards for Local CASA/GAL Programs*. Note: Any documents in **bold** represents the documents required to be submitted to National CASA/GAL as a part of the self-assessment phase of the local quality assurance (QA) process. Other documents may be reviewed during the QA process but are not necessarily required for submission.

### STANDARD 1

- ☐ Mission statement with proof and date of adoption by the administrative authority
- ☐ Written values with proof and date of adoption by the administrative authority
- ☐ Documentation or date of administrative authority review of and/or updates to mission and values, if documentation exists

### STANDARD 2

- ☐ Court report(s) (report template and redacted samples)

- ☐ Documentation of orientation materials, including guiding principles topics for staff members of the administrative authority working with the program (table of contents, agenda and/or materials - may be included in orientation or onboarding materials)
- ☐ Record/documentation of orientation attendance or dates of completion for staff and members of the administrative authority working with the program

### STANDARD 3

- ☐ Diversity, equity and inclusion plan(s) with proof and date of adoption by the administrative authority (These plans may be separate or combined)
- ☐ Confirmation/documentation of annual diversity, equity and inclusion training for staff, volunteers and members of the administrative authority working with the program
- ☐ Equal employment opportunity (EEO) policy\*
- ☐ Anti-discrimination policy\*
- ☐ Anti-harassment policy\*

\* These may be included in human resources policies or separate documents. See also Standard 7 below.

- ☐ Documentation or date of administrative authority review of and/or updates to required plans and policies included in this standard, if documentation exists

### STANDARD 4

- ☐ Conflict of interest policy approved or provided by the administrative authority
- ☐ Signed, dated conflict of interest policy, statement or agreement for each staff person and paid consultant



- ▶ Phase 1: May 2022 – June 2022
  - ▶ 3 programs
  - ▶ Volunteer pilot programs
- ▶ Phase 2: July – December 2022
  - ▶ 8 programs
  - ▶ Will be notified by April 2022
- ▶ Phase 3: January – June 2023
  - ▶ 9 programs
  - ▶ Will be notified by October 2022
- ▶ Phase 4: July – December 2023
  - ▶ 9 programs
  - ▶ Will be notified April 2023
- ▶ Phase 5: January – June 2024
  - ▶ 9 programs
  - ▶ Will be notified by October 2023
- ▶ Phase 6: July – December 2024
  - ▶ 9 programs
  - ▶ Will be notified by April 2024

## PROPOSED QA SCHEDULE





## QA Documents for Local Program Upload (Non Profit)

### Standard 1: Core Model and Mission

- ☐ Mission Statement
- ☐ Values Statement (new)

### Standard 2: Guiding Principles (new standard)

- ☐ Court report template
- ☐ Orientation materials for staff and board (orientation checklist, agenda)

### Standard 3: Diversity, Equity, and Inclusion

- ☐ Diversity, Equity and Inclusion Plan
- ☐ Equal Employment Opportunity Policy
- ☐ Anti-Harassment and Anti-Discrimination Policies

### Standard 4: Ethical Conduct and Confidentiality

- ☐ Conflict of Interest Policy
- ☐ Confidentiality Policy

### Standard 5: Governance and Administration

- ☐ Growth Plan
- ☐ MOU with Court
- ☐ MOU with umbrella organization (if applicable)
- ☐ Bylaws

# REQUIRED DOCUMENTS PRE-SITE VISIT



## QA Documents for Local Program Site Visit (Non Profit)

### Standard 1: Core Model and Mission

- ☐ None

### Standard 2: Guiding Principles (new standard)

- ☐ Orientation documentation for staff and board (dates completed, proof of signatures, proof of handing out NCASA Core Model, Standards, Role of NCASA, Role of State Organization and Role of Local Program documents)

### Standard 3: Diversity, Equity, and Inclusion

- ☐ Confirmation/Documentation of annual diversity, equity and inclusion training for staff, volunteers and board members

### Standard 4: Ethical Conduct and Confidentiality

- ☐ Signed and dated Conflict of Interest Policy for staff, consultants and board members
- ☐ Signed and dated Confidentiality Policy for staff, volunteers and board members

### Standard 5: Governance and Administration

- ☐ Strategic Plan
- ☐ Certificates for insurance policies
- ☐ Date signature from recent Executive Director Performance Evaluation
- ☐ Proof of completed background checks (and rechecks every 4 years)

# REQUIRED DOCUMENTS DURING SITE VISIT

# DISCUSSION AND FEEDBACK

CONTACT: [KGLUMAC@OHIOCASA.ORG](mailto:KGLUMAC@OHIOCASA.ORG)