

Standards for Local CASA/GAL Programs

Documentation List

PROGRAMS STRUCTURED AS NONPROFITS



Court Appointed Special Advocates
Guardians ad Litem

FOR CHILDREN

NATIONAL CASA/GAL ASSOCIATION

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)

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

STANDARD 5

- Strategic plan or equivalent
- Whistleblower policy (This may be included in human resources policy)
- Current budget with date of adoption by governing board
- Certificate(s) of insurance for all insurance policies
- Executive director performance evaluation form (a copy of the blank form; see also Standard 7)
- Dated signature sheet from most recent executive director performance evaluation
- Current succession plan for executive director position
- Statute or memorandum of understanding (MOU) that defines case assignment and acceptance, as well as working relationship with the court
- Bylaws
- Screening application form(s) (a copy of the blank form)
- Written/signed authorizations for background checks (redacted if necessary) or case management system report with completion dates
- Documentation of all background screening for volunteers, staff and members of the governing board (See Standard 5.B elements of screening)
- Sample application or information packet(s) for volunteer recruitment, staff recruitment and/or governing board recruitment that contains notice about background screening requirements

- Documentation that background screening checks have been updated at least every 4 years which may include confirmation of Rap Back service for criminal background re-checks
- Organization chart showing management structure and lines of accountability
- For CASA/GAL programs operating under an umbrella organization, an MOU between the program and the umbrella organization
- Recruitment plan or matrix for governing board
- Job descriptions for members of the governing board
- Board election and screening procedures
- Documentation of orientation materials for governing board members, including guiding principles' topics (table of contents, agenda and/or materials - May be included in orientation or on-boarding materials)
- Training and development plan for governing board
- Board records as specified in Standard 5.G
- Board minutes reflecting review and/or updates to required plans and policies included in this standard**
- Board minutes of annual meeting**
- Board minutes reflecting review and adoption of annual budget**
- Board minutes reflecting review and/or updates to insurance coverage**
- Board minutes reflecting review and/or updates to agreement with the court (e.g. Memorandum of Understanding)**
- Board minutes reflecting review and/or updates to bylaws**

STANDARD 6

- Logic model**
- Financial resources plan (might also be known as resource development plan, fundraising plan, or sustainability plan)
- 501(c)(3) designation letter from IRS
- Purchasing and inventory control policy/policies (might also be known as procurement policy)
- Quarterly financial reports submitted to the governing board
- Annual report
- IRS form 990
- IRS form 941s or proof of payment
- Most recently completed financial audit, review or compilation as required by Standard 6.C**
- Documentation of the governing board's review of the audit, financial review or compilation (This may be in board or committee minutes)**
- When applicable, **Management Letter, confirmation of review of management letter and audit findings** are sent to National CASA/GAL
- Operational policies, manual or handbook consistent with Standard 6.D.2
- Internal financial controls policy (This may be included in operational policies)
- Financial management system (e.g. QuickBooks or Dynamics)
- Resource development policies (This may be included in resource development plan, operational policies or equivalent)
- Documentation that the program is recognized by the state government as approved to conduct charitable solicitations

- Controls or procedures for processing and acknowledging contributions in accordance with applicable laws (This may be included in internal controls or internal financial controls)
- Plan for disposition of property in the event the program is dissolved (May be included with Articles of Incorporation filed with the state)
- Certificate(s) of insurance for all insurance policies (e.g. general liability, workers' compensation; see also Standard 5)
- Email communication policy (This may be included in communications plan, social media policy or confidentiality policy)
- When the practice of transporting children is not prohibited in the state, and the program allows staff or volunteers to provide transportation for children, the program has written policies for transportation that include the following required documents (see also Standard 8):
 - ✓ Proof of appropriate liability protection/insurance for the program and staff
 - ✓ Written permission of the supervisor or executive director
 - ✓ Written permission of the child's legal guardian or custodial agency
 - ✓ When allowing use of a personal vehicle for transportation of children:
 - Documentation of annual motor vehicles division record
 - Annual copy of a valid unexpired current driver's license, and proof of adequate personal automobile insurance that meets the required state minimum if one exists or the program's insurance carrier minimum if absent a state minimum
- Board minutes reflecting review and/or updates to required plans and policies included in this standard**
- Board minutes reflecting review of quarterly financial reports**
- Board minutes reflecting review of annual report**

- Board minutes reflecting review of IRS Form 990
- Board minutes reflecting review of the financial audit, review or compilation, and any corresponding management letter of findings

STANDARD 7

- Human resources policies, manual or handbook
 - ✓ Human resources practices
 - ✓ Working conditions
 - ✓ Wage policies and benefits, as applicable
 - ✓ Insurance protection
 - ✓ Required and supplemental training, and development opportunities
 - ✓ Social media policy
 - ✓ 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 a conflict of interest
 - ✓ Whistleblower policy
- Signed, dated acknowledgment of receiving human resources policies from each staff person
- Equal employment opportunity (EEO) policy*
- Anti-discrimination policy*
- Anti-harassment policy*

*These may be included in human resources policies; see also Standard 5 above.

- Human resources policies or operational policies (see above) include procedures for staff grievances and appeals unless prohibited by law

- Complaints, investigations and responses are documented and kept separate from main human resources file for each staff person.
- Human resources policies include (see above) or separate governance policy that allows periodic participation by the executive director or delegate in the governing body's review of human resources policies and for written notification to staff of any changes to the human resources policies
- Staff recruitment plan detailing the type and number of staff required to accomplish program goals and objectives (This may be included in strategic plan)
- Documentation of background screening for each staff person as required in Standard 5.B
- Current succession plan for key staff ("key" staff is determined by the program - succession plan for key staff may be reflected in executive director succession plan)
- Job descriptions for each staff person or group of similar positions
- Documentation of staff orientation
 - ✓ Staff orientation agenda, curriculum and/or materials
 - ✓ Attendance and/or completion dates
- Documentation of employment start date and pre-service training completion date for executive directors and staff supervising volunteers
- Professional development plan for staff (individually or as a group)
- Documentation of continuing education and on-going training hours and content with dates of attendance and/or completion
- If considering a peer coordinator model, written plan and timeline for implementation

- If using a peer coordinator model:**
 - ✓ **Written job description for the position of peer coordinator**
 - ✓ **Policy that requires a peer coordinator to participate in equivalent staff orientation, training and evaluation as paid staff**
 - ✓ **Plan for managing cases assigned to the peer coordinator in the event that the peer coordinator leaves or becomes unavailable**
- System for staff periodic evaluation(s) (This may be included in human resources policies)
- Staff performance evaluation form(s) (a copy of the blank form)
- Dated signature sheets for each completed staff performance evaluation
- Policies or procedures that specify conditions for disciplinary action and termination of employment, including violations of program policy and/or documented substandard performance. The program's policies and procedures specify the person or persons with authority to implement disciplinary action(s) and/or terminate employment. (This may be included in human resources policies)
- Human resources records as specified in Standard 7.G
- Board minutes reflecting review and/or updates to required plans and policies included in this standard**

STANDARD 8

- Recruitment plan for volunteer advocates
- Sample of standardized information used to recruit volunteer advocates
- Volunteer application (a copy of a blank form or redacted as necessary)
- Documentation of background screening for each volunteer advocate as required in Standard 5.B

- Signed agreements from volunteer advocates:
 - √ Conflict of interest policy
 - √ Confidentiality policy
 - √ Social media policy
 - √ CASA/GAL volunteer policies and procedures
- Reactivation policy for volunteers who have been inactive for more than one (1) year. The written policy shall include guidelines under which a volunteer would not have to be retrained. The volunteer's file must include documentation of reactivation (This may be included in volunteer policies and procedures)
- **Copy of equivalent curriculum for review and written pre-approval before use from National CASA/GAL** if the program is not using the current National CASA/GAL Association pre-service training curriculum
- Documentation of pre-service attendance and completion date for each volunteer advocate
- Documentation/confirmation that facilitator requirements have been met consistent with Standard 8.C.4
- Documentation of continuing education hours and content for pre-service training facilitators (This may include professional development hours for staff)
- Proof of court observation if allowable (documentation of dates)
- Pre-service training records:
 - √ Training dates
 - √ Name(s) of facilitator(s)
 - √ Verification that the facilitator has been trained in accordance with the standard
 - √ Participant attendance and completion records
- Documentation of continuing education hours and content for volunteer advocates to include dates of attendance and/or completion

- Procedure for acceptance and assignment of cases. (This may be included in operational policies, MOU with the court, or a separate procedure)
- Signed court order(s) of appointment
- Documentation of staff supervision meeting dates with volunteer advocates (These may be notes in a case management system)
- Case assignment list to include case number, name of volunteer advocate and staff supervisor
- Volunteer performance evaluation documentation
- Volunteer retention plan
- Volunteer policies and procedures
- Signed acknowledgement of receiving the volunteer policies and procedures for each volunteer advocate
- Volunteer job description, roles and responsibilities (This may be included in Volunteer Policies and Procedures)
- Exceptions policy, if applicable, for in-person contact minimum requirement per Standard 8.F.5.g (This may be included in the volunteer policies and procedures)
- Policy to resolve conflicts between volunteer advocates and the program supervisor (This may be included in the volunteer policies and procedures)
- Exceptions policy, if applicable, for case assignment ratios per Standard 8.F.8 (This may be included in the volunteer policies and procedures)
- When the practice of transporting children is not prohibited in the state, and the program allows staff or volunteers to provide transportation for children, the program has written policies for transportation that include the following required documents (see also Standard 8):
 - √ Proof of appropriate liability protection/insurance for the program and staff

- √ Written permission of the supervisor or executive director
- √ Written permission of the child’s legal guardian or custodial agency
- √ When allowing use of a personal vehicle for transportation of children:
 - Documentation of annual motor vehicles division record
 - Annual copy of a valid unexpired current driver’s license, and proof of adequate personal automobile insurance that meets the required state minimum if one exists or the program’s insurance carrier minimum if absent a state minimum
- 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:
 - Requested or required by the court to be included with or in the court report, or
 - Written permission is obtained from the legal guardian.
 - √ Policies prohibit the use of photos for social media, marketing or personal use unless written authorization is provided by the legal guardian.
- Policies and procedures for corrective action and non-voluntary dismissal of volunteers (This may be included in volunteer policies and procedures)
- Volunteer records include documentation of elements listed in Standard 8.H
- Policies that specify when, and if, volunteers have access to their records and detail the procedures for review, addition and correction (by volunteers) of information contained in the record (This may be included in volunteer policies and procedures)
- Records retention policy (see also Standard 10)
- **Board minutes reflecting review and/or updates to required plans and policies included in this standard**

STANDARD 9

- Plan for public information, outreach and education
- Communications policy
- Crisis management plan
- Board minutes reflecting review and/or updates to required plans and policies included in this standard**

STANDARD 10

- Operational procedures for data collection tool or software
- Confidentiality policies concerning electronic data and information sharing via electronic media. Case records include documentation consistent with elements listed in Standard 10.A.2
- Child and case records per Standard 10.B
- Court reports and correspondence
- Date and reason for case closure documented in the case file
- Written operational procedures, consistent with legal requirements, and with the policy on confidential information, governing the retention, maintenance, protection, destruction and return of case files when the 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 (This may be included in volunteer policies and procedures or operational procedures)
- Board minutes reflecting review and/or updates to required plans and policies included in this standard**

STANDARD 11

- If the program has an auxiliary, the program has a written agreement with the auxiliary
- Board minutes reflecting review and/or updates to required plans and policies included in this standard**

ADDITIONAL DOCUMENT

- Growth plan** (if not at 100% service to eligible children)

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