



STRENGTHENING THE VOICES OF CASA STATEWIDE

Dear Executive Directors, Program Directors, Board Members, and Staff:

We believe the quality assurance process is one of the most effective ways Texas CASA partners with local CASA programs in our shared vision of a CASA volunteer for every child, and we look forward to working with you. This Readiness Guide is designed to assist you in preparing for the review and includes step-by-step information about the process.

FY23 marks the beginning of a new quality assurance monitoring cycle within the CASA network. During this three-year cycle, reviewers from Texas CASA assess program compliance comparing monitored standards and requirements against program policies and practices through the Self-audit checklist, document review, interviews, file assessments, and quarterly performance data submitted to Texas CASA. We will continue two important elements to the quality assurance process: a **mandatory Self-Audit Checklist** to be completed and submitted with the Indicators of Compliance (IoC) documents and **background checks via DFPS fingerprint and ABCS reports** within the IoCs. Combined, these activities culminate into a nonprofit organizational assessment of the FY23 Texas CASA Standards.

Programs will receive two documents throughout the quality assurance process: the Self Audit Checklist with Texas CASA responses and a Quality Assurance Report. The Self Audit Checklist with Texas CASA responses will detail **preliminary** findings identified prior to the QA Review when reviewing documents submitted by your program. The Quality Assurance Report is the **final** report which will include any requirement(s) to be addressed by the program and specify any required action after the QA Review.

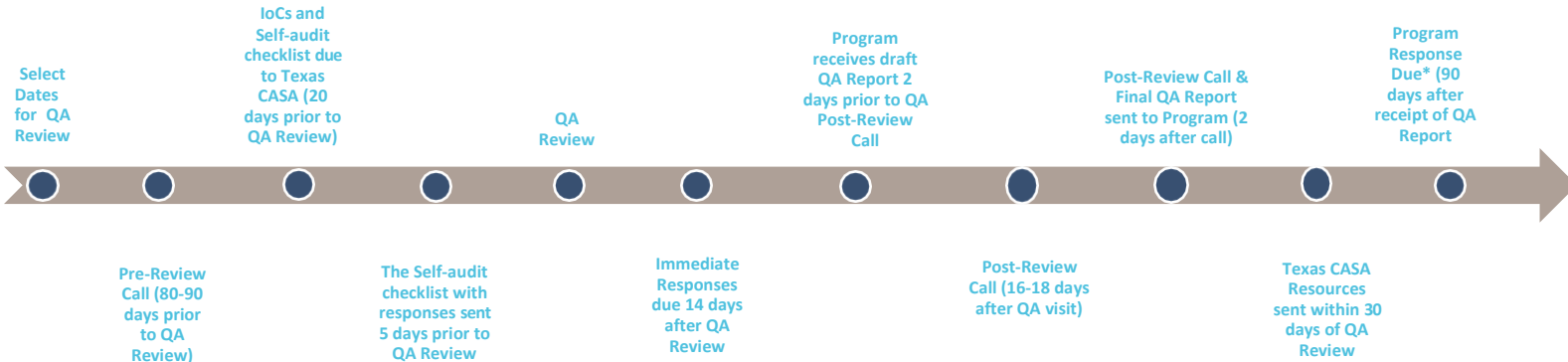
Our team is always available to provide resources, tools, samples, and assistance, so please do not hesitate to contact us at any time prior to, during, or following your Quality Assurance Review. Your feedback and evaluation of the process is welcomed and appreciated as it plays a vital role in our journey to service excellence.

Sincerely,
The Texas CASA Program Operations Team

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QUALITY ASSURANCE REVIEW TIMELINE



NOTIFICATION AND SCHEDULE

- Programs will be notified of the month in which their QA Review will occur prior to the Quality Assurance Preparation Training in June.
- The Executive Director (ED) is contacted 90-100 days prior to the first day of the month of their visit to select the dates for their **virtual** visit. In addition, a pre-review call will be scheduled at that time. In an effort to make the QA Review as successful as possible, Texas CASA requires the participation of the ED, and recommends the participation of the Board Chair, and Treasurer on the call.

PRE – REVIEW CALL

The pre-review call is scheduled for at least 80 days prior to the QA Review.



A reminder email will be sent to the ED, Chair, and Treasurer two days prior to the call

- Questions about the QA process are welcomed and encouraged from all participants during the call.
- Program makes decision about participation in Advancing Advocacy.

INDICATORS OF COMPLIANCE DOCUMENTS (IoCs)

- The Indicators of Compliance (IoC) documents and **Self-Audit Checklist** are due to Texas CASA no later than 20 days prior to the QA Review.

The reviewer will then complete a desk review of the submitted documents. No later than five days before the QA Review, the ED, Chair, and Treasurer will receive a reminder of the Quality Assurance Review and the **Self-Audit Checklist with Texas CASA responses** with any preliminary findings; no action is required upon receipt.

QUALITY ASSURANCE REVIEW

- During the QA Review, the reviewer will discuss the Self-Audit Checklist, assess various documents, conduct interviews with staff and board members, and host Advancing Advocacy...See [page 10](#) for a list of additional documents reviewed during the QA Review.


QUALITY ASSURANCE REPORT (QA REPORT) AND POST-REVIEW CALL

- The Quality Assurance Report (QA Report) is an organizational assessment that may include findings and recommendations from the desk and QA Review.
- A draft of the report is emailed to the ED, Chair, and Treasurer within 16-18 days of the review. The ED, Chair, and Treasurer will have the opportunity to discuss the draft with the reviewer during the Post-Review Call.
- Within two days after the Post-Review Call, Texas CASA will send the final QA Report which will outline any requirement that the program must submit to Texas CASA to bring the program into compliance with the monitored Texas CASA Standards.
- A response to each of the requirements listed in the final QA Report is due 90 days after receipt of the QA Report, unless noted otherwise on the report. *See [page 14](#) for additional details on immediate and priority compliance responses.*

TEXAS CASA ASSISTANCE

- The resources and information that the reviewer identifies as beneficial to the program, referred to as Texas CASA assistance, will be provided by the reviewer within 30 days of the Post-Review Call.

PROGRAM RESPONSE

- Failure to submit a response to any requirement outlined in your final QA Report by the specified deadline may result in a financial hold. In certain circumstances, an extension for up to 60 days may be granted. Requests must be made in writing to the Program Operations Director.
- For your convenience, you can view deadlines and the full list of requirements to bring your program into compliance via your QA Review Findings in the Online Data Manager (ODM).
 Reminder emails will be sent to the ED, Chair, and Treasurer 30 and 10 days prior to the due date
- Within 14 days of receiving the full submission, Texas CASA will update the QA Review Findings in the ODM and send notification of which requirements have been met and/or which require additional action. If additional action is required, a due date for the second response will be provided by Texas CASA at that time.

INDICATORS OF COMPLIANCE (IoCS) DOCUMENTS

The following documents must be submitted no later than 20 days prior to the QA Review. If a Handbook, Guide, or Manual is listed under multiple standards, submit only once.

INCLUDE THE SELF-AUDIT CHECKLIST WITH YOUR INDICATORS OF COMPLIANCE SUBMISSION.

Standard 1: CORE MODEL & MISSION

- Core Model
- Mission Statement

Standard 2: GUIDING PRINCIPLES

- Guiding Principles
- Volunteer Policies & Procedures
- Human Resources Policies (Include all other stand-alone policies)
- Board Policies & Procedures
- Organizational Manual
- Training Schedule for Guiding Principles - staff, volunteers, & board members

Standard 3: DIVERSITY, EQUITY, & INCLUSION

- Diversity, Equity, & Inclusion Plan
- Training Schedule for DEI Training - staff, volunteers & board members

Standard 4: ETHICAL CONDUCT & CONFIDENTIALITY

- Conflict of Interest Policy
- Confidentiality Policy
- Assigned Volunteers – All Alphabetical report

Standard 5: GOVERNANCE & ADMINISTRATION

- Strategic Plan
- Past 12 months of Board meeting minutes w/ attachments and Board Committee Minutes
- Board Approved Budget for Current Fiscal Year
- Budget Deviations
- MOU or Working Agreement with the Court
- DFPS MOU with Local Signatures reviewed within the past 24 months
- Results of Volunteer, Judicial and Stakeholder surveys conducted within the past 24 months
- Board Roster with term dates, ethnicity, race, gender identity, city/county represented
- DFPS (ABCS) Active Background Check History list
- Fingerprint-Based Background Check- Offline Applicant Management list
- Bylaws
- Corrective Action Policy – staff, volunteer, or board member
- Board Recruitment Plan
- Board Matrix
- Documentation of Formal Board Orientation (i.e. overview, table of contents in board manual, agenda)
- Written Board Training Plan – LBOD Annual Completion
- Financial Policies and Procedures

Standard 6: MANAGEMENT & FUNDING

- Fund Development Plan
- Past 3 months of Reconciled Bank Statements
- Internal Control Questionnaire
- Financial Policies and Procedures

Standard 7: HUMAN RESOURCES

- Weapon Policy
- Grievance Policy
- Succession Plan for Key Staff
- Training & Development Plan for Staff
- Job Descriptions
- Organization Chart-with staff start dates, ethnicity, race, and gender identity

Standard 8: VOLUNTEER ADMINISTRATION

- Volunteer Recruitment Plan
- Volunteer Job Description
- Social Media Policy
- Pre-Service Training Agenda and current training calendar
- Certification of Facilitator Training
- Current In-Service Training Calendar
- Assigned Volunteers – All Alphabetical report
- Visitation Exception Policy (outlining circumstances when exceptions may be permitted)

Standard 9: PUBLIC EDUCATION & ENGAGEMENT

- Communications Policy

SELF-AUDIT CHECKLIST OF MONITORED STANDARDS & REQUIREMENTS

The Self-Audit Checklist of Monitored Standards and Requirements is a listing of all the requirements evaluated as part of the Texas CASA Quality Assurance Review. This includes a review of policy and/or practice during the desk and/or QA Review.

Programs are required to complete and submit the Self-Audit Checklist in preparation for the QA Review.

Though some monitored requirements remain the same for each QA cycle, other requirements will change. *Those highlighted in yellow denote requirements newly monitored during this QA Cycle – either in the desk or QA Review.*

INSTRUCTIONS FOR RUNNING ACTIVE CHILDREN AND VOLUNTEER REPORTS

The Quality Assurance Review includes an assessment of Documentation of Advocacy File Assessment Form and Documentation of Volunteer Screening and Training Assessment Form through the examination of randomly selected case and volunteer files. Two separate lists are required to be submitted with the Indicators of Compliance for these file reviews:

REPORTS TO RUN:

1. **Active Children by Supervisor** : Children reported as being served by the program during the last full quarter prior to the date of the QA Review. Some of these children's cases may have been closed since the last quarterly report. Please run the exception reports and make necessary corrections prior to submitting Active Children by Supervisor Report.
2. **Assigned Volunteers - All Alphabetical Report**: Volunteers reported for the last full quarter prior to the date of the QA Review. Please run the exception reports and make necessary corrections prior to submitting Active Volunteer-All Alphabetical Report.

Confidentiality Procedure for Submitting Texas CASA's Quality Assurance Review Indicators of Compliance (IoC)

Due to HHSC confidentiality requirements, we no longer will accept IoC sent via emails in zipped folders.

We require the program to upload all IoCs in your program's ODM. It is a simple process:

- 1) Log into the ODM
- 2) Go to "QA Reviews" – found middle of page, smaller print
- 3) Select FY23
- 4) Scroll down to "Notes & Attachments"
- 5) Click button "Upload Files"
- 6) Add each document required in IoCs.

Two confidentiality documents that require review will be sent after the Pre-QA Review Zoom.

- 1) Texas CASA's Confidentiality Process for the Quality Assurance Review – **please read.**
- 2) Confidentiality Pledge – **please read, sign, and return.**

SUPPORTING DOCUMENTS REQUESTED DURING QA REVIEW

In addition to the Indicators of Compliance documents collected prior to the QA Review, the reviewer will also examine the following documents:

Documentation of Advocacy File Assessment Form

- Active Children by Supervisor Report (as of the day of the QA Review)
- Randomly selected case files
 - Note: The number of case files reviewed is determined by the total number of cases the program served during the last full quarter prior to the QA
 - < 100 total cases: 6 case files will be reviewed
 - 100 – 299 total cases: 12 case files will be reviewed
 - >300 total cases: 18 case files will be reviewed

Documentation of Volunteer Screening & Training Assessment Form

- 4 randomly selected volunteer files

Employee File Review

- 2 employee/personnel files (one of which will be the Executive Director)
 - The reviewer will look for the following within the files:
 - Reference Documentation
 - Pre-Service Volunteer training completion
 - Signed Confidentiality Statement
 - Signed Conflict of Interest Statement
 - Signed Human Resources Policy
 - Annual Motor Vehicle Check
 - Current Driver's License
 - Valid Automobile Insurance

Risk Management

- Reconciled bank statements from the last 3 months

INSTRUCTIONS FOR BACKGROUND CHECK VERIFICATIONS

For the purposes of the QA Review, we are requesting a copy of the DFPS Automated Background Check System (ABCS) **Active Background Check History Records** list and the Fingerprint-based Background Check (FBC) **Offline Applicant Management** report of subscribed persons. These lists will be compared to the program’s organizational chart, staff roster, board roster, volunteer list, or elsewhere to ensure all individuals associated with the program have the requisite checks.

Please note that programs are required by each entity (DFPS and DPS) to unsubscribe or deactivate their access to any individual no longer associated with the program. When printing these lists for submission, if you find you have access to past staff, board members, or volunteers no longer with the program, please take the necessary steps to remove these individuals immediately.

Contact email address for ABCS questions: CASABGCR@dfps.texas.gov

HOW TO RUN THE REPORTS FOR ABCS

DFPS Automated Background Check System (ABCS) Active Background Check History Records List

- ❓ **Step 1:** Log in to your ABCS main page, via the HHS Enterprise Portal, to access your list or online history.
- ❓ **Step 2:** Here you will be able to compare the names of current board, staff, and volunteers to the list of names in the **Active Background Check History Records** list. Please print this list. The screenshot below is an example of the information we ask you to provide to Texas CASA:



FBI Civil Rap Back User Guide Link:

[2021.12_Civil Rap Back User Guide.pdf \(texas.gov\)](#)

Offline Applicant Management Users Guide Link:

<https://securite.dps.texas.gov/Clearinghouse/Content/Offline%20Applicant%20Management%20User%20Guide.pdf>

F	G	H	I
VAL	HasTexasSubscription	FRB Subscription Status	FP Date
5/27/2016	Y	SUBSCRIBED	5/27/2016
1/10/2015	Y	SUBSCRIBED	4/27/2011
2/2/2018	Y	SUBSCRIBED	6/13/2014
5/10/2018	Y	NOT ELIGIBLE	5/10/2018
8/27/2017	Y	NOT ELIGIBLE	2/26/2017

If an applicant’s fingerprints are not legible the subscriber must schedule the applicant for another attempt to be fingerprinted. If after the second attempt to obtain fingerprints on the applicant fails, the subscriber will be required to perform a National Name Based Search. A name-based search can be conducted with the programs company of choice if it is a National Name Based Search.

OVERVIEW OF VOLUNTEER SCREENING & TRAINING ASSESSMENT FORM

Quality Assurance Reviews include an assessment of Volunteer Screening and Training through randomly selected volunteer files. Programs must score **80%** or higher on files reviewed to be in compliance with Texas CASA requirements. If a program scores 50% or below on any single standard within the files reviewed, the program must submit a plan to increase and maintain scores 80% or above.

The files will be randomly selected using the **Assigned Volunteer-All Alphabetical Report** submitted with the Indicators of Compliance and a random number generator. Volunteer files are then reviewed and scored using a numerical scoring system based on the inclusion of specific required documents. Based on this, programs receive either a “1” or a “0” for each document.

The following are brief descriptions of requirements assessed:

- Miscellaneous Documents
 - Signed Statement of Confidentiality upon completion of Pre-service training
 - Signed Statement of Confidentiality upon each case acceptance
 - Signed Conflict of Interest policy
 - Signed Social Media Policy
 - Documentation of three or more reference checks, which are unrelated to the applicant
 - Performance evaluations at case closure and on an ongoing basis
 - Documentation of signed acknowledgement of read and receipt current policy

- Required Background Checks
 - Record checks are cleared and documented on each volunteer within the following:
 - DFPS Automated Background Check System (ABCS) Active Background Check History Records List
 - Fingerprint-Based Background Check **Offline Applicant Management** List, or National name-based search for board, staff and volunteers that have been rejected twice for prints.

- Training Documentation
 - Documentation of completion of at least 30 hours of National CASA/GAL pre-service training (face-to-face depends on approved training modality used)
 - Documentation of at least 12 hours of in-service training annually (pro-rated based on the volunteer’s date of swearing in)

- Documentation of court observation hours

- Transportation Requirements
 - Motor vehicle division record check annually
 - Copy of a valid unexpired current driver’s license
 - Documentation of personal automobile insurance that meets the required state minimum.

OVERVIEW OF ADVOCACY FILE ASSESSMENT DOCUMENT

Quality Assurance Reviews include an Advocacy File Assessment that occurs through randomly selected case files. Programs must score an average of **80%** or higher on files reviewed to be in compliance with Texas CASA requirements. If a program scores below an average of 80% on the total child score sheets or 50% on any single standard within the files reviewed, the program must submit a plan to increase and maintain scores 80% or above.

The files will be randomly selected using the **Active Children by Supervisor** report submitted with the Indicators of Compliance and a random number generator. Case files are then reviewed and scored with the assigned Volunteer Supervisor to determine if the minimum amount of advocacy services required by Standards have been completed and documented within the required timeframes.

A weighted numerical scoring system is used and assigned to each component. Full point scores indicate that documentation was located within the hard or electronic file, a permanent record. Partial point scores indicate that documentation was located outside of the permanent record. Zero-point scores indicate that no documentation was located during QA Review.

The following are a description of the areas assessed:

- The reviewer will note the following information on the case: number of children; children's initials; ages of children; distance child is placed; TMC, PMC, or COS; volunteer or staff working the case; date of CASA program appointment.
- Within the hard or electronic copy of the case file, the reviewer will look at three consecutive months of documentation for the following:
 - Meets in person with the child once every 30 days at a minimum. To allow for an exception, the CASA/GAL program must have a written exceptions policy outlining when exceptions may be permitted.
 - Monthly contact with the parent, caregiver, CPS/SSCC case managers, and CASA program staff, either F2F, phone, email, text, or other documented contact.
 - The reviewer will read case notes, court reports or other documentation in case file to determine the following:
 - Educational advocacy has occurred (as applicable to age), quarterly. This may include F2F, phone, email, with the school, teachers, ARD, educational portfolio viewing, or other appropriate educational advocacy.
 - Medical advocacy has occurred, quarterly. This may include F2F, phone, email, text, or communication with medical providers, therapists, Health Passport, or another medical advocacy.
 - Legal advocacy has occurred quarterly. This may include F2F, phone, email, text, or other contact with the attorney ad litem (AAL).
 - Communication documented in case file through safety advocacy activity type, case notes, or court report.
 - Communication documented in case file through 16+ advocacy activity type, case notes, or court report.
 - Monthly progress notes or summaries and current contact entries of documentation in case file for meeting in person with child(ren), and communication with CPS/SSCC case manager, caregiver, and program staff.

PROGRAM RESPONSE REQUIREMENTS

Typically, a response to each of the requirements listed in the final Quality Assurance Report is due within 90 days after the final QA Report is sent. However, there are two response requirements: immediate responses and priority compliance responses.

IMMEDIATE RESPONSE REQUIREMENTS

Certain requirements in Texas CASA Standards and the HHSC contract with local programs require an **immediate response** if a determination is made that a program is out of compliance during the quality assurance review. Immediate response requirements fall into one of two categories: risk to children and financial risk. Additional information about the specific immediate response requirements can be found below.

RISK TO CHILDREN: BACKGROUND CHECKS

The following standards stipulate the required background checks for staff members and volunteers:

- 5.B.3.c.-e.

Per the cited standards, each employee and volunteer are required to have the following record checks:

- State and National Criminal History via the Fingerprint-Based Background Check
- State and National Sex Offender via the Fingerprint-Based Background Check
- Automated Background Check System (ABCS)

If any of these checks are missing or incomplete for any employee or volunteer:

- Any employee or volunteer with direct access to children must be **removed immediately** from all casework responsibilities and may not return to such duties until all required checks are cleared.
- The Executive Director must submit verification to Texas CASA indicating that all files have been reviewed and background checks have been completed **within 14 days** of the QA Review.

RISK TO CHILDREN: FACE-TO-FACE CONTACT

The following standard requires a minimum amount of face-to-face contact with the child(ren) to whom the CASA program is appointed.

Standard 8.F.5.g.ii.

Per the cited standard, the advocate will: **Establishes and adheres to volunteer administration policies and procedures.** The volunteer policies and procedures shall include a description of the volunteer's role and responsibilities including but not limited to the following. The volunteer: **Meets in-person with the child once every 30 days** at a minimum. To allow for an exception, the CASA/GAL program must have a written exceptions policy outlining circumstances when exceptions may be permitted.

If it is determined during the QA Review that the child(ren) in a case has not received the minimum face-to-face contact:

- Face-to-face contact with the child(ren) is required **within 14 days** of the QA Review.
- The Executive Director must then submit a statement to Texas CASA that states the face-to-face contact with the child(ren) has occurred and is documented **within 14 days**.

PRIORITY RESPONSE REQUIREMENTS

In addition to the immediate response requirements detailed on page 14, there are other circumstances in which Texas CASA may require a **priority compliance response** from a program. A priority compliance response requires specific responses at 14, 30, 60, and 90 days after the QA Review.

While the following list is not exhaustive, Texas CASA reserves the right to require additional program action when any of the issues below are identified.

1. Immediate Response Requirements are not met;
2. A risk to children is identified through flagrant failure to perform minimum advocacy standards;
3. Evidence of financial mismanagement or fraud;
4. Chronic lack of compliance/lack of improvement in volunteer to child ratio (PChV);
5. The number of final compliance findings is greater than 20;
6. A response to any requirement is not submitted or is incomplete after the due date listed in the final QA Report.

Again, this list is not exclusive, and Texas CASA reserves the right to require priority responses for any finding that poses a significant risk to children or program operations. Texas CASA will provide clear, remedial actions and timeframes, as well as technical assistance and resources as program leaders work to correct significant problems in program operations and/or advocacy for children.

Failure to comply with the required actions within the stated timeframe may result in restriction, suspension, reduction, or termination of CVC and/or VOCA funding.

Appendix

DOCUMENTATION OF ADVOCACY FILE ASSESSMENT FORM

Program: _____ Reviewer: _____ Review Date: _____

Child #1 Initials	Age	Distance	TMC PMC COS	Vol/ Staff	Appt. Date

Child #2 Initials	Age	Distance	TMC PMC COS	Vol/ Staff	Appt. Date

Child #3 Initials	Age	Distance	TMC PMC COS	Vol/ Staff	Appt. Date

Standard #	Full Standard	File Assessment Criteria	Child #	Month 1	Month 2	Month 3	SUM
NEW 8.F.5.g. ii.	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer's role and responsibilities including but not limited to the following. The volunteer: Meets in-person with the child once every 30 days at a minimum. To allow for an exception, the CASA/GAL program must have a written exceptions policy outlining circumstances when exceptions may be permitted.	Monthly face-to-face contact with child documented in case file 10/5/0	1				
			2				
			3				
8.F.5.c. (case manager)	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer's role and responsibilities including but not limited to the following. The volunteer: Identifies and advocates for the best interests of the child, considering the child's expressed objectives without being bound by those objectives, through monthly contact or documented attempts with the parents (as available and permissible), caregivers, case managers and CASA/GAL program staff.	Monthly communication documented in case file of either F2F, email, text, phone, or other documented contact with CPS/SCC case manager. 3/1.5/0	1				
			2				
			3				
8.F.5.c. (caregivers)	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer's role and responsibilities including but not limited to the following. The volunteer: Identifies and advocates for the best interests of the child, considering the child's expressed objectives without being bound by those objectives, through monthly contact or documented attempts with the parents (as available and permissible), caregivers , case managers and CASA/GAL program staff.	Monthly communication documented in case file of either F2F, email, text, phone, or other documented contact with caregiver. 3/1.5/0	1				
			2				
			3				
8.F.5.c. (CASA program staff)	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer's role and responsibilities including but not limited to the following. The volunteer: Identifies and advocates for the best interests of the child, considering the child's expressed objectives without being bound by those objectives, through monthly contact or documented attempts with the parents (as available and permissible), caregivers, case managers and CASA/GAL program staff.	Monthly communication documented in case file of either F2F, email, text, phone, or other documented contact with CASA program staff. 3/1.5/0	1				
			2				
			3				
8.F.5.b. (AAL)	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer's role and responsibilities including but not limited to the following. The volunteer: Obtains first-hand a clear understanding of the needs and situation of the child by conducting an ongoing review of all relevant documents and records, including medical, psychological and school records; and interviewing the child, parents (as available and permissible), social workers, educators, child welfare service providers, Attorney ad Litem , any foster parent, and other relevant persons to gather information about the child's situation.	Quarterly communication documented in case file of either F2F, email, text, phone, or other contact with the attorney ad litem. (AAL) 2/1/0	1				
			2				
			3				
8.F.5.L. (EDU)	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer's role and responsibilities including but not limited to the following. The volunteer: Advocates for the child's best interests in the community by quarterly interfacing with mental health, educational and other relevant systems, subject to confidentiality limitations, including reviewing the medical care	Quarterly communication documented in case file of either F2F, email, text or phone contact with the school, teachers, ARD, educational portfolio	1				
			2				

	provided to the child and eliciting, as appropriate, the child’s opinion on the medical care provided.	viewing, or other age-appropriate educational advocacy. 2/1/0	3				
8.F.5.L. (MED)	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer’s role and responsibilities including but not limited to the following. The volunteer: Advocates for the child’s best interests in the community by quarterly interfacing with mental health , educational and other relevant systems, subject to confidentiality limitations, including reviewing the medical care provided to the child and eliciting, as appropriate, the child’s opinion on the medical care provided.	Quarterly communication documented in case file of either F2F, email, text, phone or other contact with medical providers, therapists, Health Passport viewing, or other medical advocacy. 2/1/0	1				
			2				
			3				

NEWLY MONITORED STANDARDS OR ELEMENT OF STANDARDS

Standard #	Full Standard	File Assessment Criteria	Child #	Month 1	Month 2	Month 3	SUM
NEW 8.F.5.c.	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer’s role and responsibilities including but not limited to the following. The volunteer: Identifies and advocates for the best interests of the child, considering the child’s expressed objectives without being bound by those objectives, through monthly contact or documented attempts with the parents (as available and permissible), caregivers, case managers and CASA/GAL program staff.	Monthly communication documented in case file of either F2F, email, text, phone, or other contact with the parent(s). 6/3/0	1				
			2				
			3				
NEW 8.F.5.m.	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer’s role and responsibilities including but not limited to the following. The volunteer: Monitors the child to ensure the child’s safety and to advocate against unnecessary relocations of the child to multiple temporary placements.	Communication documented in case file through safety advocacy activity type case notes or court report 5/2.5/0	1				
			2				
			3				
NEW 8.F.5.o.	Establishes and adheres to volunteer administration policies and procedures. The volunteer policies and procedures shall include a description of the volunteer’s role and responsibilities including but not limited to the following. The volunteer: For a child at least 16 years of age, ascertains whether the child has received the following documents: a certified copy of the child’s birth certificate, a social security card or replacement card, a driver’s license or personal identification certificate, and any other personal document Department of Family and Protective Services determines appropriate.	Communication documented in case file through 16+ advocacy activity type case notes or court report 2/1/0	1				
			2				
			3				
NEW 10.B.2.a.-b.	Retains child and case information. Records for all children served are kept up to date through: a. Current contact entries. b. Monthly progress notes or summaries.	Monthly progress notes or summaries and current contact entries of documentation in case file for meeting in person with child(ren), and communication with CPS/SSCC case manager, caregiver, and program staff. 4/2/0	1				
			2				
			3				
Sum of Items Reviewed							
Minimum Expectations Assessment Percentage							

DOCUMENTATION OF VOLUNTEER SCREENING & TRAINING ASSESSMENT FORM

Program: _____ Reviewer: _____ Review Date: _____

		File 1	File 2	File 3	File 4		
Volunteer Initials							
Volunteer Sworn in Date							
Standard #	Full Standard	File Assessment Criteria	File 1	File 2	File 3	File 4	SUM
4.B.3.	Volunteers take an oath of confidentiality upon completion of the National CASA/GAL Association pre-service training and sign a statement of confidentiality upon acceptance of each case.	Date of signed statement of confidentiality after training					
		Date of signed statement of confidentiality on current case					
5.B.2.	Ensures and monitors screening of all staff, volunteers and members of the governing board as follows: Obtains the names of three (3) or more references that are unrelated to the applicant.	The file contains documentation of three or more references, either written or documented by the program in writing, who are unrelated to the applicant.					
5.B.3.c-e	Ensures and monitors screening of all staff, volunteers and members of the governing board as follows: Obtains written authorization and information for the CASA/GAL program and other appropriate agencies to secure, and secures, a background check on each prospective staff person, volunteer and governing board member initially, and at least every two (2) years if there are no rap back services, to include: c. A fingerprint-based search conducted by the Texas Department of Public Safety (TDPS) in conjunction with the Federal Bureau of Investigations (FBI). If unable to complete a fingerprint-based check after two attempts as determined by DPS, a name based criminal history check shall be completed with re-checks annually. The CASA/GAL program shall retain documentation allowed by DPS. d. National sex offender registry maintained by US Department of Justice and Texas Public Sex Offender Registry maintained by TDPS, if not included in the fingerprint-based check. e. Child Abuse and Neglect Central Registry maintained by the DFPS in accordance with federal law and Texas Family Code 261.002.	ABCS and Fingerprint Background checks has been successfully completed.					
NEW 8.B.6.a.c	Screens prospective volunteers. Upon selection, prior to assignment of a case, the CASA/GAL program obtains signed agreement from each volunteer to the following written policies: a. Conflict of interest policy. c. Social media policy.	The file contains a. Conflict of interest policy.					
		c. Social media policy					
8.C.3.	Trains volunteers. The National CASA/GAL Association Pre-Service Training is to be delivered in accordance with the one of the National CASA/GAL Association modalities and for the duration specified by the chosen modality, for a minimum of 30 hours , including in-person contact for CASA/GAL program staff to evaluate the applicant's suitability to serve as a volunteer, as specified by the chosen modality.	The file contains documentation of 30 hours of required preservice training.					
8.C.8.	Trains volunteers. In addition to 30 hours of pre-service training, if allowed by the court, the CASA/ GAL program requires each volunteer to visit the court served while the court is in session to observe abuse/neglect proceedings before appearing in court for an assigned case.	The file contains documentation of courtroom observation (not included in the 30 hours of required preservice training).					

NEW 8.C.9.	Trains volunteers. The CASA/GAL program ensures that volunteers complete 12 hours of continuing education annually (pro-rated based on the volunteer’s date of swearing in) consistent with National CASA/GAL Association guidelines and the CASA/GAL program documents completion of this requirement for each volunteer. Continuing education hours should be related to the work of best interest advocacy and can be completed through a variety of sources and delivery methods such as education events hosted by the local CASA/GAL program or state organization (such as an annual conference), program-approved externally provided opportunities (in person or online), National CASA/GAL Association webinars, program-approved books and videos. To encourage a diverse learning experience, no more than four (4) hours of continuing education should be completed by reading books/articles.	The file contains documentation of 12 hours of in-service training annually.					
Standard #	Full Standard	File Assessment Criteria	File 1	File 2	File 3	File 4	SUM
NEW 8.E.6.	Supervises volunteers. The CASA/GAL program supervisor conducts a review of the case and the volunteer’s performance of the job description of a CASA/GAL volunteer on an ongoing basis and as a component of case closure.	The file contains documentation of a performance evaluation conducted on an ongoing basis.					
		The file contains documentation of a performance evaluation conducted at case closure.					
8.F.2.	Establishes and adheres to volunteer administration policies and procedures. Each volunteer receives a copy of the current volunteer policies and procedures and provides signed acknowledgement of reading and understanding the policies which is retained by the CASA/GAL program in the volunteer’s record.	The file contains documentation of signed acknowledgement or form of acknowledgment of read and receipt current policy.					
NEW 8.F.10.e.i	Establishes and adheres to volunteer administration policies and procedures. When the practice of transporting children is not prohibited in the state, and the CASA/GAL program allows staff or volunteers to provide transportation for children, the CASA/GAL program: e. When allowing use of a personal vehicle for transportation of children, ensures that the staff or volunteer who has agreed to provide the transportation: i. Has passed a motor vehicles division record check annually.	The file contains documentation the volunteer has passed a motor vehicles division record check annually .					
8.F.10.e .ii	Establishes and adheres to volunteer administration policies and procedures. When the practice of transporting children is not prohibited in the state, and the CASA/GAL program allows staff or volunteers to provide transportation for children, the CASA/GAL program: e. When allowing use of a personal vehicle for transportation of children, ensures that the staff or volunteer who has agreed to provide the transportation: ii Provides annually to the CASA/GAL program a 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 CASA/GAL program’s insurance carrier minimum if absent a state minimum.	The file contains documentation of a copy of volunteer’s valid unexpired current driver’s license.					
		The file contains documentation of personal automobile insurance-that meets the required state minimum.					
Volunteer File Assessment Percentage							