**Finance and Risk Management Checklist**

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| **Document** | **TAC requirements** | **Notes** |
| Financial Policies, (including record retention) | **377.113** **(a)(12)** accounting procedures |  |
| Weapons Policy w/date approved (may be included in VPP, EP and BP) | **377.113(a)(13)** a weapons prohibition policy approved by the statewide volunteer advocate organization; and |  |
| Confidentiality Policy (may be included in VPP, EP and BP) | **377.113(d**) Confidentiality.  (1) Each local program must counsel volunteers, employees, and directors on what constitutes confidential information.  (2) A volunteer, employee, or director may not communicate any confidential information pertaining to an individual being served by a local volunteer advocate program to a person who is not authorized to possess the confidential information**.** |  |
| Conflict of Interest (may be included in VPP, EP and BP) | **377.113(e)** Conflicts of Interest. Each local volunteer advocate program must have a written conflict-of-interest policy that:  (1) prohibits any personal, business, or financial interest that renders a volunteer, employee, or director unable or potentially unable to perform the duties and responsibilities assigned to that volunteer, employee, or director in an efficient and impartial manner; and  (2) prohibits a volunteer, employee, or director from using the position for private gain, or acting in a manner that creates the appearance of impropriety. |  |
| Fund Development Plan (may be included in the SP) | **377.113(a)(4)**  a funding plan based on the local volunteer advocate program's goals and objectives; |  |
| Crisis Communication Plan Interest (may be included in VPP, EP and BP) | **377.113** **(a)(10)**a media/crisis communication plan; |  |
| Board approved budget | **377.109 (c)(2)** community support for the local volunteer advocate program, as indicated by financial contributions from civic organizations, individuals, and other community resources; |  |
| Past 3 months bank statements | NA |  |
| ICQ | NA |  |
| Background Checks (to be included in all VPP, EP and BP) | **377.117 (a)** Conducting a background check.  (1) A volunteer, employee, or director must be subject to a background check prior to the commencement of volunteer, employee, or director duties and no longer than every two years thereafter. A background check must include a review of the individual's information from:  (A) a fingerprint-based search conducted by the Texas Department of Public Safety that utilizes the National Crime Information Center (NCIC) database that is maintained by the Federal Bureau of Investigation and the Texas Crime Information Center (TCIC);  (B) the Texas Public Sex Offender Registry maintained by the Texas Department of Public Safety;  (C) the National Sex Offender Public Website maintained by the United States Department of Justice; and  (D) the Child Abuse and Neglect Central Registry maintained by DFPS in accordance with federal law and Texas Family Code §261.002.  (2) If a volunteer, employee, or director has lived in a state other than Texas within the last seven years, the local volunteer advocate program must conduct a criminal background check in that state.  (3) For an individual authorized to drive children, the local program must:  (A) investigate the individual's driving record and insurability; and  (B) obtain documentation of a valid, state-issued driver's license and satisfactory personal liability insurance.  (b) Ten-year bar for certain felony offenses.  (1) An individual whose background check yields a felony conviction, guilty plea, plea of no contest, or acceptance of deferred adjudication for which fewer than ten years have passed since the date of the offense, is barred from being a volunteer, employee, or director.  (2) An individual whose background check yields a felony conviction, guilty plea, plea of no contest, or acceptance of deferred adjudication for which ten years or more have passed since the date of the offense, and if that felony offense is not described under subsection (c) of this section, the local volunteer advocate program may exercise the discretion to determine that individual's eligibility for a volunteer, employee, or director position.  (c) Bar for certain offenses.  (1) An individual whose background check yields a conviction, guilty plea, plea of no contest, acceptance of deferred adjudication, or pending charge for any of these offenses is barred from being a volunteer, employee, or director:  (A) Texas Penal Code Chapter 19;  (B) Texas Penal Code Chapter 20;  (C) Texas Penal Code Chapter 20A;  (D) Texas Penal Code §§21.02, 21.07, 21.08, 21.11, or 21.12;  (E) Texas Penal Code §§22.011, 22.02, 22.021, 22.04, 22.041, 22.05, 22.07, or 22.11;  (F) Texas Penal Code Chapter 25;  (G) Texas Penal Code §28.02;  (H) Texas Penal Code Chapter 29;  (I) Texas Penal Code §30.02;  (J) Texas Penal Code §33.021;  (K) Texas Penal Code §42.072;  (L) Texas Penal Code Chapter 43;  (M) Texas Penal Code §§46.06, 46.09, or 46.10;  (N) Texas Penal Code §48.02;  (O) Texas Penal Code §§49.045, 49.05, 49.07, or 49.08;  (P) Texas Penal Code Chapter 71; or  (Q) any other offense involving violence, child abuse or neglect, assault with family violence, or a sexual offense as described under Chapter 21 of the Texas Penal Code.  (2) An individual whose background check produces any founded allegations of abuse with DFPS is barred from being a volunteer, employee, or director.  (d) An individual whose background check produces a conviction, guilty plea, plea of no contest, or acceptance of deferred adjudication of an offense, including a misdemeanor drug-related offense, that is not an offense described under subsections (b) or (c) of this section may be considered by the local volunteer advocate program to determine eligibility for a volunteer, employee, or director position.  (e) If an individual who has applied to be a volunteer, employee, or director has a pending charge described under subsections (b) or (c) of this section that would otherwise bar the individual's hiring or appointment, a new review of the application may be conducted if the charge is subsequently dismissed or if the individual is otherwise absolved of guilt.  (f) An individual whose background check produces information that includes a group of offenses or information that, if considered separately, would not bar an applicant may result in the disqualification of an applicant volunteer, employee, or director if it is determined that the offenses constitute a problematic pattern.  (g) A volunteer, employee, or director must be immediately removed from his or her position and barred from future consideration as a volunteer, employee, or director, if the volunteer, employee, or director knowingly or intentionally places a child, through the actions of the volunteer, employee, or director, in contact with a person whose criminal history involves an offense described under subsections (b) or (c) of this section.  (h) The refusal to execute consent and release forms necessary to conduct a criminal background check disqualifies an individual from serving as a volunteer, employee, or director. |  |
| Fraud, Waste and Abuse | HHSC contract |  |
| Record Retention | HHSC Contract |  |