



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.

FY24 marks the second year in the FY23-FY25 Virtual Quality Assurance monitoring within the CASA network. During this three-year cycle, reviewers from Texas CASA assess program compliance comparing monitored standards, Texas Administrative Code (TAC), and Texas Family Code (TFC) against program policies and practices through the Self-Audit Checklist, TAC/TFC 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 Self-Audit Checklist to be completed and submitted with the Indicators of Compliance (IoC) documents and background checks via DPS fingerprint and ABCS reports within the IoCs. Combined, these activities culminate into a nonprofit organizational assessment of the FY21 Texas CASA Standards.

Programs will receive three documents throughout the quality assurance process: the Self Audit Checklist and TAC/TFC Checklist with Texas CASA responses and a Quality Assurance Report. The Self Audit Checklist and TAC/TFC 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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VIRTUAL QUALITY ASSURANCE REVIEW TIMELINE



NOTIFICATION

- Programs will be notified of the month in which their Virtual QA Review will occur prior to the Quality Assurance Preparation Training in May.
- 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 Virtual 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 Virtual QA Review. A reminder email will be sent to the ED, Board Chair and Treasurer two days prior to the call.
- Questions about the Virtual QA process are welcomed and encouraged from all participants during the call.

INDICATORS OF COMPLIANCE DOCUMENTS (IoCs)

- The Indicators of Compliance (IoC) documents, Self-Audit Checklist and the TAC/TFC 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 and TAC/TFC checklist with Texas CASA responses on any preliminary findings; no action is required upon receipt.

QUALITY ASSURANCE REVIEW

- During the QA Review, the reviewer will assess various documents, conduct interviews with staff and board members, and host Advancing Advocacy. (See [page 11](#) for a list of additional documents reviewed during the Virtual 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 Post- Review Call is scheduled with the ED, Chair, and Treasurer within 16-18 days of the review. Within two days of the Post-Review Call, a draft copy of the QA report will be emailed to the ED, Chair, and Treasurer and they 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 from the first day of the QA Review unless noted otherwise on the report. See [page 15](#) 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 ZOOM 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 AND TAC/TFC CHECKLIST WITH YOUR INDICATORS OF COMPLIANCE SUBMISSION.

Standard 1: CORE MODEL & MISSION

- Core Model – (May be included in polices)
- Mission Statement (Provide sample of Texas CASA approved Mission Statement)

Standard 2: GUIDING PRINCIPLES

- Volunteer Policies & Procedures (Include Guiding Principles in policy)
- Human Resources Policies (Include Guiding Principles in policy)
- Board Policies & Procedures (Include Guiding Principles in board, staff, and volunteer policy)
- Training Schedule for Guiding Principles-staff, volunteers, & board members (Include in all training and orientation)

Standard 3: DIVERSITY, EQUITY, & INCLUSION

- Diversity, Equity, & Inclusion Plan (May be included in Strategic Plan)
- Training Schedule for DEI Training - staff, volunteers & board members (Must show attendance of this training)

Standard 4: ETHICAL CONDUCT & CONFIDENTIALITY

- Conflict of Interest Policy (Can be in stand alone or in board, staff and volunteer policies)
- Confidentiality Policy (Can be in stand alone or in board, staff and volunteer policies)

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
- MOU or Working Agreement with the Court
- DFPS/SSCC 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-including start and end date, orientation completion date, annual required training completion dates, ethnicity, race, gender identity, city/county represented.
- DFPS (ABCS) Active Background Check History list (Sorted alphabetically)
- Fingerprint-Based Background Check- Offline Applicant Management list (DPS list)
- Bylaws
- Corrective Action Policy – staff, volunteer, or board member (May be included in board, staff and volunteer policy)
- Board Recruitment Plan or Board Matrix
- Documentation of Formal Board Orientation (Date completed, topics, and signature of completion)
- Written Board Training Schedule (Include dates, time allotted, agenda, topics, description, and proof of attendance)

Standard 6: MANAGEMENT & FUNDING

- Fund Development Plan (May be included in Strategic Plan).
- Past 3 months of Bank Statements.
- Past 3 months of Bank Reconciliations.
- Financial Policies and Procedures.
- Record Retention Policy (May be included in other policies).
- Fraud, Waste and Abuse Policy.

Standard 7: HUMAN RESOURCES

- Weapon Policy approved by Texas CASA (May be in board, staff and volunteer policy).
- Grievance Policy (May be in board, staff and volunteer policy).
- Succession Plan for Key Staff (Your program defines “key staff”).
- Training & Development Schedule for Staff-(Include dates, time allotted, agenda, topics, description and proof of attendance)
- Job Descriptions (Job descriptions must match titles on organizational chart).
- Organization Chart-with staff start dates, ethnicity, race, and gender identity.

Standard 8: VOLUNTEER ADMINISTRATION

- Volunteer Recruitment Plan (May be included in Strategic Plan).
- Volunteer Job Description.
- Social Media Policy (May be included in policy).
- Pre-Service Training Agenda and current training calendar (Must include dates, time allotted, agenda, topics, description and proof of attendance).
- Current In-Service Training Calendar (Must include dates, time allotted, agenda, topics, description and proof of attendance).
- Caseload by Supervisor – all Alphabetical Report (Run the last full quarter prior to the date of the QA review).
- Visitation Exception Policy (Included in Volunteer Policy).

Standard 9: PUBLIC EDUCATION & ENGAGEMENT

- Media/Crisis Communications Plan

SELF-AUDIT CHECKLIST OF MONITORED STANDARDS & REQUIREMENTS

The Self-Audit Checklist of Monitored Standards and TAC/TFC Checklist 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 and TAC/TFC Checklist along with the IoC's submitted 20 days prior to the virtual QA Review.

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, professional and compassionate manner. The CASA/GAL program incorporates policies and practices to avoid conflicts of interest and preserve confidentiality.					
STND	REQUIREMENT	HOW THE REQUIREMENT MAY BE ASSESSED IN POLICY	HOW THE REQUIREMENT MAY BE ASSESSED IN PRACTICE	PROGRAM NOTES ON HOW IT DEMONSTRATES COMPLIANCE INCLUDING PAGE NUMBERS	STANDARD MET
4.A.2.a.	Requires ethical conduct. The CASA/GAL program maintains a written conflict of interest policy approved by the governing board. The conflict of interest policy: a. Is signed annually by staff, paid consultants and members of the governing board; and the CASA/GAL program retains this document in the appropriate record or file.	Conflict of Interest Policy, Human Resources Policies, and Board Policy	Copy of most recent signed Conflict of Interest Policy	Board: 15 Staff: 16	ADD SIGNED ANNUALLY TO BOTH BOARD AND STAFF
4.A.2.b.i.-ii.	Requires ethical conduct. The CASA/GAL program maintains a written conflict of interest policy approved by the governing board. The conflict of interest policy: b. Identifies and defines conduct and transactions in which a conflict of interest exists or has the potential to exist and warrants disclosure, including but not limited to: i. A conflict that renders the person unable or potentially unable to perform duties in an impartial manner. ii. A conflict that permits a person to receive or potentially receive private gain or favor for themselves or others, or otherwise creates the appearance of impropriety.	Conflict of Interest Policy, Human Resources Policies, Volunteer Policies, and Board Policy	X	Vol: 17 Board: 15 Staff: 16	YES
4.A.2.i.-j.	Requires ethical conduct. The CASA/GAL program maintains a written conflict of interest policy approved by the governing board. The conflict of interest policy: i. Includes a procedure for dismissal of a volunteer, employee or board member who has abused or neglected any position of trust or violated the policies governing ethical conduct or otherwise created a	Conflict of Interest Policy, Anti-Discrimination Policy, Human Resources Policies, Volunteer Policies, and	X	Vol: 32 and 35 Board: 4, 15, 16 Staff: 5, 13, 16	YES

Finance and Risk Management- Tab 2

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.	

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.

REPORT TO RUN for IoC's:

1. **Caseload by Supervisor- 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 the report.

REPORTS TO RUN DAY PRIOR TO QA REVIEW:

1. **Active Children by Supervisor:** Children reported as being served by the program on the day prior to the QA Review. Please run the exception reports and make necessary corrections prior to submitting Active Children by Supervisor Report. Reports tab>Cases/Children>Active Children>Active-All Alphabetical (run the report using the date one day prior to the day of review start and end date)
2. **Caseload by Supervisor- All Alphabetical Report:** Volunteers currently assigned the day prior to the QA Review. Please run the exception reports and make necessary corrections prior to submitting the report. Reports tab>Volunteers>Assigned Volunteers>Caseload-by Supervisor (run the report using the date one day prior to the day of review for start date)

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 FY24
- 4) Scroll down to “File Tab”
- 5) Click button “Add Files”
- 6) Add each document required in IoCs.

The screenshot displays the ODM interface for a QA Review. At the top, the review title is "QA Review QA-FY2022-99". Below the title, there are tabs for "QA Review Milestones (...)", "QA Findings (1)", "Files (0)", "Notes (0)", and "Notes & Attachments (0)". The "Files" tab is selected, and a blue arrow points from step 5 of the instructions to the "Add Files" button in the top right corner of the Files section. The "Details" section shows the review name "QA-FY2022-99", the reviewer "Debbie Dugger", and the 2nd reviewer "Linda Coronado". The "Files" section is currently empty, with a table header showing columns for Title, Owner, Last Modified, and Size.

SUPPORTING DOCUMENTS REQUESTED DURING QA REVIEW

Documentation of Advocacy File Assessment Form

Active Children by Supervisor Report (as of the day of the QA Review)

Randomly selected case files:

- < 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

Randomly selected volunteer files:

- < 100 total cases: 4 files will be reviewed.
- 100 – 299 total cases: 8 files will be reviewed.
- >300 total cases: 12 files will be reviewed.

Employee File Review

Randomly selected Employee/personnel files:

- < 100 total cases: 2 files will be reviewed.
- 100 – 299 total cases: 4 files will be reviewed.
- >300 total cases: 6 files will be reviewed.

The reviewer will look for the following within the files.

- Three unrelated references.
- Pre-Service Volunteer training completion (30 hours).
- 12 hours in-service training documented.
- Annual Cultural Diversity training (proof of completion).
- Signed Confidentiality Statement.
- Signed Conflict of Interest Statement.
- Signed Human Resources Policy.
- * Annual Motor Vehicle Check (if applicable).
- *Current Driver's License (if applicable).
- *Valid Automobile Insurance (if applicable).

* For programs that transport

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:

The screenshot shows the ABCS Home page. At the top, there is a navigation bar with links: Home, Request, Subject-Submitted Request, and Contract Details. Below the navigation bar, the page title is "ABCS Home". There is a "Select Contract" dropdown menu with the value "06142842". Below this, there is a section for "Resource Name" with the value "Casa Background Checks", "Resource ID" with the value "86472681", "Contract ID" with the value "86142842", and "Email Address" with the value "username@casaprograminc.org". There are two tabs: "Active" and "Inactive". Below the tabs, the section is titled "Active Background Check History Records". There is a note: "To sort, click on a column header". Below this, there is a table with the following columns: Subject, Subject Date of Birth, Check Date, and Requestor. The table contains three rows of data:

Subject	Subject Date of Birth	Check Date	Requestor
Belson, Gavin	05/11/1961	02/07/2017	Bachman, Erlich
Bream, Laurie	10/26/1962	02/07/2017	Bachman, Erlich
Hall, Monica	02/16/1970	02/03/2017	Bachman, Erlich

FBI Civil Rap Back User Guide Link:

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

Offline Applicant Management Users Guide Link:

<https://seuresite.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 **Caseload by Supervisor- All Alphabetical Report** submitted the day prior to the QA Review 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 references, which are unrelated to the applicant.
 - Performance evaluations at case closure and on an ongoing basis.
 - Documentation of signed acknowledgement of read and receipt of 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 (if the program allows transporting)
 - 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 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. Scores indicate the documentation of advocacy noted within the hard or electronic file, a permanent record during the 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 parent(s), 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/SSCC 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.l. (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: 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 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 legal, 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 or phone contact with the school, teachers, ARD, educational portfolio viewing, or other age-appropriate educational advocacy. 2/1/0	1				
			2				
			3				

8.F.5.l. (MED)	<p>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 legal, 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.</p>	<p>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</p>	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.	<p>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.</p>	<p>Monthly communication documented in case file of either F2F, email, text, phone, or other contact with the parent(s). 6/3/0</p>	1				
			2				
			3				
NEW 8.F.5.m.	<p>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.</p>	<p>Communication documented in case file through safety advocacy activity type case notes or court report 5/2.5/0</p>	1				
			2				
			3				
NEW 8.F.5.o.	<p>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.</p>	<p>Communication documented in case file through 16+ advocacy activity type case notes or court report 2/1/0</p>	1				
			2				
			3				
NEW 10.B.2.a.-b.	<p>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.</p>	<p>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</p>	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).					

Standard #	Full Standard	File Assessment Criteria	File 1	File 2	File 3	File 4	SUM
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.					
TAC 377	Annual Cultural Diversity Training- 377.115(e)(4) A local volunteer advocate program must provide cultural diversity training for volunteers, employees, and directors on an annual basis.	The file contains documentation of cultural diversity training					Include above
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.					
Total sum of file score divided by 60 = Volunteer File Assessment Percentage							