

Attachment D: File Review –Standards for Maintaining Records

Reviewer: _____

Record Keeping

Note if maintained in hard copy (HC) or electronic format (EF)

HC/EF	<u>Volunteer File</u>
_____	Application
_____	Reference documentation
_____	Documentation of records checks
_____	Performance evaluations
_____	Key dates (active, assigned, etc.)
_____	Contact information
_____	Demographics *
_____	Training record
_____	In-service record
_____	Case assignment/history
_____	Hours and mileage
_____	Volunteer status
_____	Other: _____
_____	Other: _____

Check each demographic that is recorded either electronically or in hard copy.

Demographics

of Volunteers:

- ☐ Age
- ☐ Sex
- ☐ Race/Ethnicity
- ☐ Education
- ☐ Employment status
- ☐ Career type

Demographics of

Children:

- ☐ Age
- ☐ Sex
- ☐ Race/Ethnicity

HC/EF	<u>Case Records</u>
_____	Biographical information
_____	Court reports
_____	Court orders
_____	DCBS case plan
_____	Current, up-to-date contact notes
_____	Type of case
_____	Contact information
_____	Demographics
_____	Volunteer assigned
_____	Current/past placements
_____	Case notes and summaries

_____ Case closed date and reason
 _____ Other: _____
 _____ Other: _____

HC/EF Staff

_____ Application/resume
 _____ Reference documentation
 _____ Documentation of records checks
 _____ Signed conflict of interest policy
 _____ Signed statement of confidentiality
 _____ Other: _____
 _____ Other: _____

HC/EF Board members

_____ Application (if applicable)
 _____ Reference documentation
 _____ Documentation of records checks
 _____ Signed conflict of interest policy
 _____ Other: _____
 _____ Other: _____

File Storage Security

Hard Copies	<input type="checkbox"/> Secured (day/night?)	<input type="checkbox"/> Fireproofed	<input type="checkbox"/> Check-in/out
Electronic Files:	<input type="checkbox"/> <u>Network drives</u>	<input type="checkbox"/> <u>Server/PCs in office</u>	<input type="checkbox"/> <u>Laptops</u>
	<input type="checkbox"/> Password protected	<input type="checkbox"/> Password protected	<input type="checkbox"/> Password protected
	<input type="checkbox"/> Back-up	<input type="checkbox"/> Back-up	<input type="checkbox"/> Back-up

Physical File Organization

Volunteer File Sections/Categorization

Case File Sections/Categorization

Attachment D: File Review – Volunteer Sheet

Volunteer: _____ Reviewer: _____

First Active as of (date) _____ and, if applicable ☐ Inactive as of (date) _____

Current or Last Active Case: _____

1. Basic Volunteer Information

- ☐ Copy of application submitted by volunteer
- ☐ Reference check documentation (minimum of 3 unrelated to applicant)
- ☐ Interview documentation
- ☐ Applicant release form for background checks
- ☐ Signed receipt of volunteer policies and procedures
- ☐ Signed oath of confidentiality
- ☐ Demographics on volunteer (includes on-line tracking)(must be at least 21 years of age)

Comments: _____

2. Records Checks

- ☐ Social Security number verification
- ☐ National criminal records check
- ☐ National sex offender registry check
- ☐ Child abuse and neglect (CAN) registry check with DCBS
- ☐ Criminal records check with Kentucky AOC
- ☐ Motor vehicle division record check, insurance verification (if transporting children)
- ☐ Re-checks every four years, as applicable

Comments: _____

3. Training Records

- ☐ 30 hours pre-service training (documentation)
- ☐ Courtroom observation (if permitted)
- ☐ Volunteer shadowing (if applicable)
- ☐ 12 hours of in-service training annually

Comments: _____

4.

Case and Reporting Documentation

- ☐ History of case assignments, current and past
- ☐ Adherence to case status reporting standards (with/to supervisor)
- ☐ Adherence to hours and mileage reporting standards (includes on-line tracking)

Comments: _____

5. **Current Performance or Inactive Documentation**

For an active volunteer:

- ☐ Performance feedback (e.g., supervisor, formal/informal; special projects)
- ☐ If applicable, disciplinary or probationary documentation

For an inactive volunteer:

- ☐ Identification of reason (includes on-line, Comet)
- ☐ Evidence that all files were returned to CASA office

Comments: _____

Attachment D: File Review - Case Sheet

Case: _____ Reviewer: _____

Volunteer: _____ Number of Children: _____

First Active as of (date) _____ and, if applicable ☐ Inactive as of (date) _____

1. Basic Case Information

- ☐ Court order of CASA appointment and notification of all parties of the case
- ☐ Documentation on type of case (initial petition)
- ☐ Up-to-date contact list of interested parties, e.g., parents, guardians, GALs, caseworkers
- ☐ Demographics on children (includes on-line tracking)

Comments: _____

2. Court Reports

- ☐ Court hearings and court order documentation
(dates: _____)
- ☐ CASA court reports, including indication of report review by supervisor
(dates: _____)
- ☐ Cabinet petitions and reports

Comments: _____

3. Case Management and History

- ☐ Volunteer(s) assigned
- ☐ Signed statement of confidentiality by the volunteer
- ☐ Placement history of children
- ☐ Case review notes (how often: _____)
- ☐ Volunteer has in-person contact with child at least once every 30 days unless program staff has permitted less frequent in-person contact and there is documentation of the justification and reasonableness for the exception
- ☐ Record of hours/mileage associated with case

Comments: _____

4. Current Priorities or Closed Case Documentation

For an active case:

- ☐ Next court date, critical issue documentation
- ☐ Special plan documents (e.g., medical, counseling, educational)

For a closed case:

- ☐ Documentation of permanency
- ☐ Evidence that all case files were returned to CASA office

COMMENTS: _____

