



# Operational Review Client Guide



Dependent Children's Services Division

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# ***DCSD Operational Review – Overview***

## ***Introduction:***

The Administrative Office of the Arizona Supreme Court (AOC) retains administrative responsibility for all state court programs. The Dependent Children’s Services Division (DCSD) has the specific responsibility of conducting ongoing operational reviews regarding the dependency process in the Arizona juvenile court system.

The Dependent Children’s Services Division is responsible for dependency related programs including the Court Improvement Project, the Court Appointed Special Advocate Program (CASA), and the Foster Care Review Board Program (FCRB).

The Operational Review will serve as a tool for ensuring that local juvenile courts are in compliance with applicable statutes, Supreme Court Administrative Orders, funding agreements, juvenile court rules, and local policies and procedures.

The Dependent Children’s Services operational review process has been designed and implemented with the intent to:

- Maintain accountability throughout the state’s Juvenile courts in the handling of dependency cases;
- Provide technical assistance to the Juvenile courts in an attempt to improve the status of dependent children.

## ***Client Guide:***

This Client Guide has been developed to provide the user with information necessary to prepare for and participate in the DCSD operational review process. Users can find several pieces of information in the guide including:

- Requirements for each of the relevant programs based on statute, court rules of procedure, and individual program policies and procedures;
- Operational Review timelines;
- Initial information requested by the review team at the onset of the review;
- Operational Review instruments utilized by review team members;
- Sample Funding Agreements for CI and CASA programs;
- Dependency Glossary

## ***Goal of the Operational Review Process:***

To review efforts being made by the juvenile courts, and CASA programs regarding the administrative and operational management of dependency case proceedings.

## ***Objectives***

- To determine and report the extent to which courts conduct and manage dependency case proceedings and juvenile court-related programs in accordance with applicable statutes, administrative orders, juvenile court rules, funding agreements, and policies and procedures.
- To determine and report the innovative approaches used by the courts to manage dependency case proceedings and juvenile court-related programs.
- To determine and report the extent to which courts and counties comply with generally accepted accounting principles.
- To collect qualitative and quantitative data concerning the efficiency, effectiveness, and expediency of the courts' dependency case proceedings and juvenile court-related programs.
- To document program resource needs and provide technical assistance where needed.

## ***Process***

The operational review process can be divided into three different stages: preparation, fieldwork, and reporting.

**Preparation** - Prior to the operational review team visiting the county, the presiding juvenile court judge, juvenile court director and court administrator, will receive correspondence from the DCSD Operational Review Team regarding the upcoming review. Efforts will be made at this time to arrange a date and time for the Entrance Conference. Included with the correspondence will be the Initial Information Request (IIR). The appropriate county personnel are asked to return the completed version of the IIR, with any attached information, to the DCSD operational review specialist during the onsite review.

In addition to the materials received from the county, the DCSC review team will utilize information from the Dependency Juvenile On-Line Tracking System (JOLTS) and the Dependent Children's Automated Tracking System (DCATS).

**Fieldwork** - The Entrance Conference will be held prior to the on-site review and will include representatives from the DCSD operational review team. It is recommended that the Entrance Conference attendees include the presiding or lead juvenile court judge, the juvenile court director, the court administrator, a representative from the Clerk's Office, the CASA county coordinator, and other personnel deemed appropriate by the county. During the on-site portion of the review, the team will review files and observe court proceeding. The time required for the on-site portion of the review depends on several factors including the number of dependency petitions filed, the number of files being reviewed, the availability of personnel for interviews or survey completion and the schedule of dependency court proceedings.

**Reporting** – Once the required data is collected, the Draft Report will be compiled and forwarded to the county for review. A review team member will then contact the county and arrange for the Exit Conference. The conference will allow the county to share any comments they may have and ask any questions they may need to in order to assist in the formulation of their response to the Draft Report. The county is then asked to provide written comments to the review team regarding the recommendations made in the draft report no later than one month after the Exit Conference. The county's comments will be included both in the relevant portions of the report and appended in their entirety to the Operational Review Final Report.

## ***Operational Review Process Time Line\****

### **Initial Information Request:**

The Initial Information Request form is sent to the county after the date for the Entrance Conference has been finalized, about one month prior to the review.

### **Entrance Conference:**

The Entrance Conference is scheduled at the convenience of the presiding juvenile judge in the county and is an opportunity for the parties to be introduced to the members of the DCSD review team as well as to the review process. The participants from the county is left to the presiding juvenile judge's discretion but typically includes the juvenile court administrator, CASA coordinator, the dependency coordinator and the Clerk of the Court for the county.

### **On Site Review:**

The on-site review usually begins immediately following the entrance conference and consists of file review (court and CASA) and courtroom observation. Due to the differences in number of dependency petitions filed and the availability of hearings for observation, the time period for this portion may vary.

### **Draft Report:**

Once the required data is collected and compiled, the review team will forward to the county a copy of the Draft Report. A member of the review team will contact the presiding juvenile judge to schedule the Exit Conference.

### **Exit Conference:**

The Exit Conference is an opportunity for the review team and the county to discuss the team's findings, the county's concerns, and the county's possible responses to the team's recommendations. This meeting may either be held in person or by teleconference.

### **County Response to Draft Report:**

County responds in writing regarding their specific plans to address the recommendations made by the team.

### **Final Report:**

Final report includes county's responses both in the body of the report as well as an appendix to the report.

### **Follow-Up:**

A representative from the review team will follow up with the county to discuss progress in making the recommended adjustments. The county will respond in writing regarding their progress in the applicable areas.

*\*Time frames associated with the various stages of the operational review process as noted below are given as estimations and may vary depending on the individual needs of the county in question.*

***Dependency Operational Review  
Court Improvement Initial Information Request  
\_\_\_\_\_ County***

<b>Budget Considerations</b>	
1. Are Court Improvement monies expended only for purposes and uses specified in the Court Improvement Funding Agreement and Addendum A?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Are Court Improvement disbursements deposited into a special revenue account? <i>Please provide documentation of the deposit of funds received for _____.</i>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Funds were NOT shifted from, to, or within budgeted categories described in the Addendum A without prior written authorization from the AOC.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Were written inventory and property control policies and procedures maintained for equipment purchased with Court Improvement _____. <b>(Please provide the inventory tracking record if purchases were made.)</b>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>Record Retention</b>	
1. Are financial and program records related to the approved plans and Funding Agreements retained for a period of at least five years?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Do subcontracts have a provision acknowledging the authority of the AOC to conduct an operational review and evaluate program records?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. What is the average length of time from the completion of a dependency court hearing to the filing of the corresponding minute entry?	
<b>Juvenile Information Tracking System</b>	
1. Is the dependency court data tracking system accessible to all appropriate court personnel?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Please provide the security matrix for the dependency data tracking system depicting who has access to what level of dependency related data in the system.	
3. When is dependency hearing data entered into the data tracking system?	
4. Please identify the name of the person(s) currently entering dependency data?	
5. Please list the name of anyone who requires dependency data training.	

### Court Operations and Procedures

1. Please list the judicial officer(s) who hear dependency cases.	
2. Do all judicial officers, hearing dependency cases, have a current copy of the Juvenile Bench Book?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Please share any resources other than the Juvenile Bench Book that judicial officers use to ensure compliance with hearing requirements.	
4. What is the greatest challenge or barrier for judicial officers in addressing all of the dependency hearing requirements?	
5. Pursuant to Rule 40.1(J), provide a list of attorneys/Guardian ad Litem assigned to represent children in juvenile dependency matters in _____ and indicate whether each of these attorneys has provided the required training documentation.	
6. Please identify the name of the Dependency Coordinator(s).	
7. Who currently facilitates the Pre-Hearing Conferences and what relevant training has this person received regarding facilitation or mediation?	
8. How much time is set aside for each Pre-Hearing Conference?	
9. Who is currently facilitating mediations and what relevant training have they completed?	
10. Approximately, what percentage of contested dependency adjudication matters are <b>resolved</b> through mediation or settlement conferences?	
11. Please explain how agreements from the Pre-Hearing Conferences are disclosed to the judicial hearing officer.	
12. Please share the biggest barrier(s) your dependency court faces and how this barrier(s) has a negative effect on children and families?	
13. How often does your Court Improvement/Dependency Caseflow Management Team meet?	
14. Please explain the process of notifying interested parties of upcoming dependency court dates.	
15. How does the Court notify the foster parents and relative caregivers of court hearings?	
16. Briefly, describe any positive or “best practice” initiatives completed or underway in your court since the last operational review.	

**Initial Information Request – CASA**  
**<County>**

<b>General Administration</b>		
ACJA 7-101 (D-11)	1. Do county program staff avoid soliciting donations?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (D-12)	2. Are county program staff and advocates complying with applicable statutes described in A.R.S. § 8-807, § 41-1959, Arizona Rules of Court, including, but not limited to Rule 123, Rules of the Supreme Court, and administrative rules regarding confidentiality.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Human Resource Management</b>		
Policy (P.21-1)	1. Are policies and procedures established to address personnel issues?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P.21-2)	2. Does your program comply with applicable laws and regulations governing fair employment practices?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 21-3)	3. Are your personnel records of county program staff maintained by the county jurisdiction according to local court or county personnel policies?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 21-4)	4. Do you make an effort to ensure that your facility is free of barriers that restrict the employment of or use by physically challenged employees?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 21-5)	5. Are county program staff provided with performance evaluations at least annually using a standardized form?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	a. Does the performance evaluation assessment include job performance in relation to the quality and quantity of work defined in the job description and to the performance objectives established in the most recent evaluation?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	b. Does the assessment clearly state objectives for future performance:	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	c. Does the assessment make recommendations for further training and skill building, if applicable?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	Does the assessment provide an opportunity for county program staff to do a self-evaluation?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 21-6)	6. Are county program staff given an opportunity to sign the evaluation report, obtain a copy, and include written comments before the report is entered into the personnel record?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 21-7)	7. Are all employment concerns referred to the county program staff's immediate supervisor or the appointing authority?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 21-8)	8. Do personnel issues involving county program staff follow applicable disciplinary procedures, with the ultimate decision made by the presiding juvenile judge, or designee, and notification made to the state program office?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Program Plan and Financial Management</b>		
ACJA 7-101 (F-2)	1. Does the county program staff enter all DCATS statistical information on cases and advocates on at least a monthly basis?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (F-3)	2. Does the county program staff reimburse advocates for per diem and mileage costs for attending the mandatory initial CASA Advocacy Academy training, to the extent funds are available and according to state travel policies?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

Policy (P. 22-3)	3. Is the County complying with funding provided on a ratio of 1 supervisor for every 10 county coordinators; 1 county coordinator for 40 advocates; 1 county support staff for no less than 2 FTE county coordinator positions? The ratio shall be prorated for all FTEs lower than one. Distances and multiple offices in a county may be considered for exceptions to this ratio. The total county coordinator FTE shall not exceed 1.0 until the 40 advocates to 1 county coordinator position ratio is met. The number of advocates who are active but who are not appointed to cases shall not exceed 10% of the total number of advocates.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 22-3)	4. Is the supervisor position responsible for direct reporting of 15 staff (10 county coordinators, 5 county support staff, and 400 advocates) and shall not be held to the county coordinator to advocate ratio?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 22-3)	5. Does the supervisor position manage at least 15 advocates until the county program has 10 county coordinator and 5 county support staff?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 22-3)	6. Are funds disbursed from the State Program Manager held in a separate revenue account?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>County Program Operations</b>		
ACJA 7-101 (G-1)	1. Is priority appointment of CASA advocates given to dependency over delinquency or incorrigibility matters?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-2)	2. Does the county program screen every dependency case, and any delinquency case if referred, to determine if the case is appropriate for appointment to an advocate and to make effective matches of advocates to cases?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-3)	3. Does the county program ensure that an outside individual or agency (for example: DES, attorneys, private parties, law enforcement, etc.) shall not review any advocate or case files unless a subpoena and an order of the presiding judge or designee has been issued?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-4)	4. Upon receipt of a subpoena, does the county coordinator deliver a complete duplicate of the file to the presiding judge or designee for in camera inspection?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-5)	5. If a CASA advocate testifies at a hearing before a judge or at a jury trial and uses contact logs or any portion of the advocate's file that have not been the subject of a subpoena, does the county program ensure that any disclosure to the parties is ordered by the court.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-6)	6. If county staff or advocates suspect the safety and well-being of a child is at risk, do they report that information immediately to CPS as mandated in A.R.S. § 13-3620.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-7)	7. Does the county coordinator ensure that upon voluntarily or involuntarily leaving the program, advocates return identification badges and all case related materials?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-8)	8. Does the county coordinator avoid accepting appointment as a CASA advocate?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

ACJA 7-101 (G-12)	9. Does the county program prevent a advocate that has a record of conviction of a violation of A.R.S. 28-1381, 28-1382, or 28-1383, driving under the influence (DUI) from driving any vehicle to transport children, staff, or any other individuals in the course and scope of CASA duties for a period of no less than five (5) years?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-13)	10. Are all county program staff and advocates advised to avoid any action which could adversely affect the confidence of the public in the integrity of the CASA program?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-14)	11. Do county program staff immediately notify the county coordinator or supervisor and advocates notify the county coordinator if any of the following apply to a advocate:	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	<ul style="list-style-type: none"> <li>• They are the subject of an allegation or investigation in any criminal matter?</li> <li>• They have been arrested or charged in any criminal matter?</li> <li>• It is alleged in a civil, probate, domestic relations, or dependency matter or other court case that they have sexually assaulted, exploited, or physically abused any child or vulnerable adult?</li> <li>• They have been found in any professional licensing disciplinary board's final decision to have sexually or physically abused or exploited any minor, developmentally disabled person, or vulnerable adult?</li> <li>• They have engaged in an act listed in I(2)(a)(d)?</li> <li>• They are currently awaiting trial for criminal offenses listed in I(1)(e)(f)(g)(h) and I(2)(b)(c)(e) in this state or in another state or jurisdiction?</li> <li>• They have been convicted of a criminal offense listed in I(e)(f)(g)(h). They have engaged in any behavior listed in I(1)(h)(i)(j)(k)(l)(m).</li> </ul>	
ACJA 7-101 (G-15)	12. Do either the county coordinator or supervisor immediately notify the state program office:	
	a. If they are the subject of any action listed in 11(a-g) above?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	b. If county program staff or advocates have reported to them that they are the subject of an action listed in 11(a-g) above?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (G-16)	13. Does county program staff utilize office computers in adherence with the Policies for Electronic Communications for the Arizona Judicial Department?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 23-3)	14. Does the county coordinator or a mentor under the supervision of the county coordinator, conduct Pre- and Post- CASA Advocacy Academy Training to all new advocates, as provided in the statewide training curriculum	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 23-4)	15. Are advocates appointed to no more than 2 cases at one time to advocate unless additional cases are assigned at the discretion of the county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 23-5)	16. Does county program staff maintain and keep current all program performance manuals?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 23-6)	17. Does county program staff provide ongoing recognition of advocates or as funding allows, provide at least one annual advocate recognition event?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

**Public Relations**

Policy (P. 27-2)	1. Does the county program:	
	a. Conduct an ongoing public information and educational program?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	b. Disseminate public information for the purpose of broadcasting awareness of the needs and problems of the children that it serves?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	c. Make known its role, functions, and capabilities to other agencies, community organizations, government bodies, and corporations, as appropriate to its mission?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 27-3)	2. Does the county program work closely with organizations such as local bar associations, other child advocacy programs, community service and civic groups, and businesses to accomplish its mission?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 27-4)	3. Does the county program staff give the state program office a sample of any recruitment or marketing information not previously approved or prepared by the state program office or the National CASA association before it is distributed?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>County Staff Qualifications</b>		
Policy (P. 24-1)	1. Does the county program supervisor have a bachelor's degree from an accredited college or university or four years equivalent work experience in a related field?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	2. Does the county program supervisor have at least two years of experience in the juvenile court and/or child welfare systems?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	3. Does the county program supervisor have at least two years of experience as a county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	4. Does the county program supervisor have one year of experience using desired computer software programs including word processing and spreadsheets?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	5. Did the county program supervisor satisfactory complete a security clearance, which includes fingerprinting, and the signing of any state required certification and pre-employment affidavit per county requirements?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 24-2)	6. Does the county coordinator have a bachelor's degree from an accredited college or university or four years equivalent work experience in a related field?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	7. Does the county coordinator have one year of experience in the juvenile court and/or child welfare systems?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	8. Does the county coordinator have one year of experience using desired computer software programs including work processing and spreadsheets?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	9. Did the county coordinator satisfactory complete a security clearance, which includes fingerprinting, and the signing of any state required certification and pre-employment affidavit per county requirements?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 25-3)	10. Does the county support staff have one year of experience in a clerical support capacity?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	11. Does the county support staff have one year of experience using the desired computer software programs including word processing and spreadsheets?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

	12. Does the county support staff have the ability to type at least 55 words per minute with minimal errors?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	13. Did the county support staff satisfactory complete a security clearance, which includes fingerprinting, and the signing of any state required certification and pre-employment affidavit per county requirements?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>File Management</b>		
Policy (P. 36-1)	1. Does the county program office maintain copies of all advocate reports, correspondence, and notes from telephone or in-person consultations concerning the case?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 36)	2. Is information about cases only shared with the parties designated by the court?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	3. Does the county program staff develop and maintain duplicate case files; one for the advocate and another one located in the program office?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 36)	4. Are all CASA related documentation from the case file retained for a period of five years from the date of dismissal in a confidential and secured area?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 37)	5. When a advocate leaves the program, are the advocate files retained for a period of five years from the advocate's exit date and maintained in a confidential and secure area?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Initial Certification and Application Process</b>		
ACJA 7-101 (H-3)	1. Does the CASA program reject the applicant if the applicant refuses to authorize a release of information to complete background checks?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (H-4)	2. Does the county coordinator promptly notify the applicant accepted for certification?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (H-6)	3. Are program records regarding applicants and advocates not open to applicants, advocates, or the public?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	4. Upon request, does the county coordinator provide a copy of the applicant's or advocate's individual application to the applicant or advocate while redacting notes or work product of county staff?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	5. Does the county coordinator notify applicants or advocates of the general facts regarding a finding without providing specific information on criminal record, negative MVD record or record in the DES central registry?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Denial of Certification</b>		
ACJA 7-101 (I-1)	1. Does the county coordinator deny certification if the applicant has not completed any aspect of the application process?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	2. Does the county coordinator deny certification if the applicant has not been fingerprinted, or the criminal background check, MVD records check or the DES central registry information check has not been received?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	3. Does the county coordinator deny certification if the applicant has not completed the training requirements?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	4. Does the county coordinator deny certification if the applicant materially misrepresented facts or committed fraud in the application process?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

	5. Does the county coordinator deny certification if the applicant has been convicted of any of the criminal offenses as an adult outlined in ACJA §7-101 (I)(e-m)?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	6. Does the county coordinator promptly notify the applicant of being denied certification and only provide general reasons for the denial?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	7. Is the applicant advised that if their application is denied, they may have the decision reviewed by the presiding juvenile court judge upon request?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Advocate Status</b>		
ACJA 7-101 (J-1)	1. Does the county coordinator take action toward any advocate not adhering to the minimum performance standards of the CASA program, which may include limitations on types of cases, suspension, or termination?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Advocate Recruitment and Retention</b>		
Policy (P. 26-1)	1. Does the county program have written plans for recruiting and selecting advocates?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	2. Is a standardized packet of information given to each applicant, which contains the purpose and role of the CASA advocate, qualifications for becoming an advocate and the minimum time commitments?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 26-2)	3. Does the county program recruitment plan include targeted strategies to attract advocates from diverse cultural, ethnic, and socio-economic backgrounds?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (P. 26-3)	4. Does the county program's strategies for recruitment of advocates include community outreach?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Advocate Minimum Performance Standards</b>		
ACJA 7-101 (K-1)	1. Do advocates accept appointment in dependency, guardianship, termination, delinquency, and incorrigibility actions?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (K-4)	2. Does your program require advocates to comply with Arizona statutes, Arizona Rules of Court, Rules of Procedure for the Juvenile Court, administrative orders, rules, the Arizona Code of Judicial Administration (ACJA) and program policies and procedures?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (Pgs. 28-30)	3. Do advocates maintain confidentiality in handling program issues, case, and advocate information?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	4. Do advocates review case records and interview the child and other appropriate parties involved in the case?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	5. Are advocates developing and maintaining relationships with the appointed child including contact with the child on at least a monthly basis?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	6. Do advocates communicate with caregivers about the child's behavior and relationships?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	7. Do advocates participate as a member of the case management team?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	8. Do advocates participate in the formulation of any agreement, stipulation, or case plan entered into regarding the child and provide input to subsequent revisions?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

	9. Do the advocates advocate for the best interest of the child, identify, service needs, and make recommendations to the court regarding timely placement of the child?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	10. Do advocates monitor the child's placement to observe the child's behavior in the home and to assess problems or the child's needs.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	11. Do advocates assist the responsible parties to ensure that the child's educational needs are being met?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	12. Do advocates report to the appropriate authority significant changes in family situations or violations of court orders?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	13. Do advocates consult at least monthly with the county coordinator in case/program discussion, and document the discussion in the Contact Log/Journal?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	14. Do advocates discuss all recommendations concerning the case with the county coordinator prior to submitting recommendations to the court?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	15. Do advocates submit court reports at review and permanency hearings unless required otherwise?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	16. Do advocates gather and provide independent, factual information to aid the court in making its decision regarding what is in the child's best interest and in determining if reasonable efforts have been made to prevent removal of the child from the child's home or to reunite the child with their family?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	17. Do the advocates advocate for the child's safety as the first priority?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	18. Do the advocates provide advocacy to ensure that appropriate case planning and services were provided for the child?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	19. Do the advocates provide recommendations to the court on placement and services?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	20. Do advocates attend all court hearings pertaining to the appointed case and provide oral testimony to the court when requested?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	21. Do advocates assist the court in exploring alternative placements for the child?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	22. Do advocates make recommendations at the Foster Care Review Board (FCRB) meetings?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	23. Do advocates remain appointed to the dependency case through all phases of the court process up to the time of permanent guardianship or adoption, unless otherwise directed by the court?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	24. Do advocates maintain contact with the county coordinator to alert or to discuss high profile cases or problems as they arise?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	25. Do advocates provide to the county program office all case-related correspondence as directed by the county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	26. Does the program require advocates to notify their insurance carriers that their CASA advocate work may involve transporting children?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

	27. Do advocates refuse to allow the appointed child to visit the advocate's home or stay overnight with the advocate unless specifically ordered by the court with prior approval of the CPS supervisor, CPS case manager, & county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	28. What percentage of court reports are submitted to the CASA program on time? (Two weeks prior to the court hearing?)	%
<b>Advocate Mentoring Program</b>		
Policy (Pg 31)	1. Do the advocate mentors have a working knowledge of CPS and juvenile court proceedings including, but not limited to dependency, delinquency, severance, and adoption?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	2. Are advocate mentors meeting and/or exceeding minimum performance standards?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	3. Do advocate mentors have effective skills in organization, oral and written communication, leadership, and advocacy?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (Pgs 31-32)	4. Do advocate mentors comply with Arizona Statutes, Rules of Procedure for the Juvenile Court, Administrative Order, Rules, Arizona Code of Judicial Administration, and policies and procedures?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	5. Do advocate mentors assist the county coordinator by providing ongoing support to advocates?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	6. Do the advocate mentors assist advocates in the development of advocacy skills?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	7. Do the advocate mentors provide ongoing assistance to advocates regarding documentation, report writing and case management?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	8. Do advocate mentors maintain contact with assigned advocates as directed by the county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	9. Do the advocate mentors maintain contact with the county coordinator to alert or to discuss high profile cases or problems as they arise?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	10. Do the advocate mentors educate assigned advocates on how to establish working relationships with parties to the case?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	11. Do the advocate mentors provide additional information to assigned advocates regarding available community resources?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	12. Do advocate mentors attend staffings, FCRB meetings and court hearings at the direction and supervision of the county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	13. Do the advocate mentors facilitate advocate support groups at the direction and supervision of the county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	14. Do the advocate mentors consult at least monthly with the county coordinator regarding case activity and assigned advocates?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Recertification Process</b>		
ACJA 7-101 (L)	1. If a CASA has been away from the program for up to one year, are they required to attend the CASA Advocacy Academy?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	2. If a CASA has been away from the program for more than a year, are they required to repeat the application process?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Training</b>		

Policy (Pg 34)	1. Are the county program staff in compliance with the COJET requirements?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (Pg 35)	2. Are all requests by advocates for training not provided or organized by county program staff pre-approved by the county coordinator before training hours are credited?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
Policy (Pg 35)	3. Please describe some of the in-service training organized by the county program staff to assist advocates with completing their 12 hours of in-service training per calendar year.	
<b>Personal Liability</b>		
Policy (P. 33-2)	1. Do county coordinators ensure that applicants and advocates are made aware of liability and risk management laws and regulations including those pertaining to automobile usage?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	2. Do county coordinators ensure that applicants and advocates are provided with the Arizona Code of Judicial Administration (ACJA) and program policies pertaining to liability and risk management?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Complaint Process</b>		
ACJA 7-101 (N-1)	1. Does the CASA program allow complaints to be made to the manager, presiding judge or designee, or the county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (N-2)	2. Do all judicial officers and state and county program staff notify the county coordinator if it appears that a advocate has violated Arizona statues, Rules of Court, including Rules of Procedure of the Juvenile Court, the Arizona Code of Judicial Administration (ACJA), administrative orders, rules, or program policies?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (N-3)	3. Does the CASA program require all complaints to be in writing with sufficient specificity to warrant further investigations?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (N-4)	4. Does the CASA program require that any investigation be reported to the manager, presiding judge or designee and the county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (N-7)	5. Upon review of all the evidence, does the investigator make a report and recommendation to the presiding judge or designee for resolution of the complaint?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (N-8)	6. Does the county coordinator document any complaint in the advocate file and send a copy to the state program office?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (N-9)	7. In the event that the complaint involves criminal activity, does the investigator forward the complaint and all other investigative reports to the presiding juvenile judge or designee, the manager and the county coordinator?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Dismissal from Case or Termination of a Advocate from Program</b>		
ACJA 7-101 (O-1)	1. Does the county coordinator refer any recommendation regarding discipline to the presiding judge or designee?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (O-3)	2. Is a advocate suspended immediately pending a determination of alleged child abuse or neglect?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	3. Is a advocate suspended immediately pending an investigation of an allegation of conduct that would be grounds for mandatory or discretionary denial of certification?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

ACJA 7-101 (O-4)	4. Is a advocate dismissed immediately if there has been a judicial or administrative determination of abuse or neglect?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (O-5)	5. Is a advocate dismissed immediately if they use illegal drugs or alcohol while performing CASA duties?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>Advocate Code of Conduct</b>		
ACJA 7-101 (P. 16-3)	1. Do advocates consult with the county coordinator to resolve any ethical issues that arise?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (P. 16-4)	2. Do advocates serve and respond to requests without bias of race, religion, sex, age, national origin, or physical impairment.	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (P. 16-5)	3. Before appointment to a case, are advocates required to disclose to the county coordinator or court any pre-existing relationship with a child or the child's family that could be perceived as a conflict of interest?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (P. 16-6)	4. Are advocates required, at all times, to perform authorized functions in a professional and impartial manner?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (P. 16-7)	5. Are advocates advised that they shall not use or attempt to use their official position to secure unwarranted privileges or exemptions?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (P. 16-8)	6. Are advocates advised that they shall not request or accept any fee or compensation in the course of CASA advocate service?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (P. 17-9)	7. Are advocates advised that they shall use public resources, property, and funds under the advocate's control responsibly and for the purpose intended by law and not for private use?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (P. 17-11)	8. Is a court order required and obtained for a advocate to take a child to their home or stay overnight with them?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (P. 17-12)	9. Are advocates advised that they shall not be related to any parties involved in the case or be employed in a position/or agency that might result in a conflict of interest?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
ACJA 7-101 (P. 17-13)	10. Are advocates advised that they shall not give legal or medical advice?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	11. Are advocates advised that they shall not provide therapeutic counseling?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	12. Are advocates advised that they shall not provide health care services?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	13. Are advocates advised that they shall not make placement arrangements for the child?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	14. Are advocates advised that they shall not give money or gifts of value over \$10 to the child or family?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	15. Are advocates advised that they shall not engage in solitary excursions to isolated places involving only the CASA advocate and the appointed child?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
	16. Are advocates advised that they are not permitted to perform home studies for out-of-state agencies?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
<b>General Information</b>		
Briefly, describe any positive or "best practice" efforts/initiatives underway in your county since the last operational review.		

**COURT IMPROVEMENT PROGRAM-OPERATIONAL REVIEW  
ADMINISTRATIVE COMPLIANCE REQUIREMENTS  
COURT IMPROVEMENT**

<i>County:</i>	<i>Date of Entrance Conference:</i>	<i>Reviewer:</i>
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***Budgetary Considerations:***

<b><i>Requirement:</i></b>	<b><i>% Compliance</i></b>		
1. Grantee shall not shift funds from, to, or within budgeted categories described in Addendum A without prior written authorization from the AOC. ↗			
2. Funds disbursed to the Grantee shall be deposited into a special revenue account that corresponds to the funding sources as indicated in the funding agreement. ↗			
3. Funds unencumbered as of June 30 and unexpended (including unexpended interest) as of July 31 <sup>st</sup> , shall be transmitted to AOC according to the funding agreement. ↗			
4. Equipment purchased with funds pursuant to the FA shall become the property of the Grantee and the Grantee shall maintain a written inventory and property control policies and procedures covering the equipment.			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><b>Key Elements:</b></td> <td style="width: 50%;"><b>All Elements:</b></td> </tr> </table>		<b>Key Elements:</b>	<b>All Elements:</b>
<b>Key Elements:</b>	<b>All Elements:</b>		

***Record Retention:***

<b><i>Requirement:</i></b>	<b><i>% Compliance</i></b>		
1. A semi-annual financial/ progress report shall be submitted by Grantee to the AOC by the date determined in the funding agreement. ↗			
2. A final financial progress report shall be submitted by the Grantee to the AOC by the date determined in the funding agreement. ↗			
3. The Grantee shall maintain and provide to the AOC reports, data, and statistics as required. The Grantee shall retain all financial records, applicable program records, and data related to the approved plan for a period of at least five years. ↗			
4. All subcontracts shall include a provision acknowledging the authority of the AOC to conduct an operational review and program evaluation activities.			
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"><b>Key Elements:</b></td> <td style="width: 50%;"><b>All Elements:</b></td> </tr> </table>		<b>Key Elements:</b>	<b>All Elements:</b>
<b>Key Elements:</b>	<b>All Elements:</b>		

***Juvenile Information Tracking System***

<b><i>Requirement:</i></b>	<b><i>% Compliance</i></b>
1. The appropriate tracking system must be installed in the county and must be accessible to all appropriate court personnel. ↗	
2. The Grantee shall establish a security matrix to determine who is to be granted access/use of the juvenile information tracking system.	
3. Monthly dependency data entry must be completed by the date identified in the individual funding agreements. ↗	
4. An individual(s) must be identified to collect and input dependency case data. ↗	
5. Key individuals involved in the data collection process should participate in quarterly Dependency Users Group meetings sponsored by the AOC.	
<b>Key Elements:</b>	<b>All Elements:</b>

***Court Operations and Procedures***

<b><i>Requirement:</i></b>	<b><i>% Compliance</i></b>
1. Before a judicial hearing officer assumes a new assignment that involves dependency cases, or within the first twelve months of assuming this assignment, they must complete the specialized dependency training program approved by COJET. ↗	
2. Attorneys/Guardian ad Litem assigned to represent children in juvenile dependency matters in 2013 and 2014 have attended and provided the required training documentation.	
3. Grantee must have an individual responsible for the facilitation of Pre-Hearing Conferences. ↗	
4. Grantee must have an individual responsible to handle mediations. ↗	
5. The court will identify members of a Court Improvement Implementation Team and will schedule meetings on a regular basis or by need as determined by the court in order to ensure efficiency in the dependency process.	
<b>Key Elements:</b>	<b>All Elements:</b>

***Case File and Courtroom Observation***

<b><i>Requirement:</i></b>	<b><i>% Compliance</i></b>
1. Case File Review, Key Elements. ↗	
2. Case File Review, All Elements.	
3. Courtroom Observation, Key Elements. ↗	
4. Courtroom Observation, All Elements.	
<b>Key Elements:</b>	<b>All Elements:</b>

<b>Total Key Elements:</b>	<b>Total All Elements:</b>
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# CI CASE FILE TOOL

<b>County</b>	<b>Date</b>	<b>Reviewer</b>
<b>Case Name</b>	<b>JD#</b>	

<b>Dependency Petition</b>	<b>Removal Date</b>	<b>Petition Date</b>
Was the case initially filed as a private petition?		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

<b>Temporary Orders</b>	<b>Date Signed</b>	<b>JO</b>
Did the court <b>determine</b> whether continuation in home was <b>contrary to the child's welfare</b> ? ARS 8-829(A)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
Did the court set forth the <b>factual basis</b> for this determination? ARS 8-829(B)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

<b>IHI Initial Hearing</b>	<b>Date</b>	<b>JO</b>
	<b>1<sup>st</sup> Continued Date</b>	<b># of Continuances</b>
<b>Parties Present at this Hearing</b>	<b>Scheduled Time:</b>	<b>Start Time:</b>
<input type="checkbox"/> <b>Mother</b> <input type="checkbox"/> <b>Mother's Atty</b> <input type="checkbox"/> <b>Father</b> <input type="checkbox"/> <b>Father's Atty</b> <input type="checkbox"/> <b>Child</b> <input type="checkbox"/> <b>Child's Atty</b> <input type="checkbox"/> <b>Case Mgr</b> <input type="checkbox"/> <b>AAG</b> <input type="checkbox"/> <b>CASA</b> <input type="checkbox"/> <b>Foster Parent</b> <input type="checkbox"/> <b>Rel. Plcmnt</b> <input type="checkbox"/> <b>Other</b>		
1. Did the court inquire whether the parent/guardian/Indian custodian wished to participate in in-home intervention and agree to a case plan and participation in services? Rule 48.1(C)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court find that the child(ren) had not been removed (pursuant to Article 2, Chapter 10, Title 8 of ARS)? Rule 48.1(C)(2)(a)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court find that in-home intervention appears likely to resolve the risk issues described? Rule 48.1(C)(2)(b)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court find that the parent/guardian/Indian custodian agreed to a case plan and participation in services? Rule 48.1(C)(2)(c)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. Did the court find that one of the following conditions existed: Rule 48.1(C)(2)(d) A. The child is at risk of harm due to the inability or unwillingness of the parent/guardian/Indian custodian to provide food, clothing, shelter or medical care? B. The parent/guardian/Indian custodian is unable to provide proper care, control and supervision of the child.		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. Did the court order a specific time for completion of in-home intervention? Rule 48.1(C)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

<b>IHI Review Hearing</b>	<b>Date</b>	<b>JO</b>
	<b>1<sup>st</sup> Continued Date</b>	<b># of Continuances</b>
<b>Parties Present at this Hearing</b>	<b>Scheduled Time:</b>	<b>Start Time:</b>
<input type="checkbox"/> <b>Mother</b> <input type="checkbox"/> <b>Mother</b> <input type="checkbox"/> <b>Case Mgr</b> <input type="checkbox"/> <b>Case Mgr</b>		
1. Did the hearing occur within one year of the date of the Initial In-Home Intervention Hearing? Rule 48.1(C)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. If the time ordered for in-home intervention expired without being extended by the court, did the court dismiss the dependency petition? Rule 48.1(C)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

<b>Preliminary Protective Hearing</b>	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Child's Atty <input type="checkbox"/> Case Mgr <input type="checkbox"/> Other		
1. Was the hearing: A. Held within 5-7 working days from the child's removal? ARS 8-824(A) B. Continued for no more than five days.		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court: A. Inquire regarding ICWA? ARS 8-815(A), Rule 50(B)(1) B. If ICWA applies, did the court make findings pursuant to the ICWA standards and burdens of proof, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? Rule 50(C)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court appoint counsel? Rule 50(B)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court review the PhC agreements/stipulations? ARS 8-824 E(1), Rule 50(B)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. Did the court determine whether proposed case plan has been submitted and is appropriate? Rule 50(B)(8)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. Did court determine whether ADES made arrangements for assembly of child's medical records, a medical assessment, has implemented referrals, and communicated recommendations & results. Rule 50(B)(9)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. If no agreement was reached on placement, did the court conduct a review of temporary custody? If so, use the Review of Temporary Custody Tool as well. Rule 50(B)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
8. Did the court: A. Conduct the IDH for any party who is present and has been served? B. Set a continued IDH for any party not served/appearing? Rule 50(B)(7)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
9. Did the court: A. Determine if ADES identified & assessed placement with grandparent/other extended family member or a person with a significant relationship with the child? ARS 8-829(A)(2), 8-824(E)(10) B. Enter the factual basis for this determination? ARS 8-829(B) (9/30/09)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
10. Did the court advise the parent or guardian of their rights to counsel, to cross-examine all witnesses, to trial by court on the allegations in the petition? ARS 8-829(D)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
11. Did the court inform the parent(s)/guardian that the hearing may result in further proceedings to terminate parental rights? ARS 8-824(E)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
12. Did the court order the parent or guardian to provide the court the names, type of relationship and all available information necessary to locate persons related to the child or who have a significant relationship with the child. The court shall further order the parent or guardian to inform the department immediately if the parent or guardian becomes aware of information related to the existence or location of a relative or person with a significant relationship to the child. ARS 8-824(E)(7), Rule 50(C)(7) (9/30/09)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
13. Did the court advise the parent, guardian or Indian custodian of the consequences of failure to attend subsequent proceedings ARS 8-824(E)(8), Rule 50(C)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
14. If parent(s) admitted or did not contest, did the court determine that the parent understood their rights and that they knowingly, intelligently and voluntarily waived these rights? ARS 8-824(H)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
15. Did the court determine whether temporary custody was clearly necessary to prevent abuse or neglect? ARS 8-825(C)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
16. Did the court enter orders regarding placement and visitation pending the determination of the dependency petition? ARS 8-824(I)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
17. Did the court make a determination as to whether the tasks set forth in the case plan were reasonable and necessary to carry out the case plan goal? ARS 8-824(I)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
18. Did the court: A. Determine if reasonable efforts / reasonable to make no efforts to prevent removal or eliminate the need for removal of the child and if services are available that would eliminate the need for continued removal. ARS 8-825(D), 8-829(A)(3) B. The factual basis for the RE finding if the court did not do so in the temporary orders? ARS 8-829(B)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
19. If in ADES custody, did the court order ADES to make reasonable efforts to provide services to the child and parent(s) to facilitate reunification? ARS 8-825(D)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
20. If the parents denied the allegations, did the court: A. Set date for settlement conference, pretrial conference or mediation? B. Admonished the parent(s) re failure to appear and/or participate in future hearings? ARS 8-826		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Review of Temporary Custody Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
	Scheduled Time:	Start Time:
Parties Present at this Hearing		
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
1. Evidence presented in support or to <b>rebut temp custody finding</b> ? Rule 51(C)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Was <b>evidence</b> relating only to placement, visitation or services <b>permitted</b> as it related to the <b>issue of continued temporary custody</b> ? Rule 51(C)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Was the <b>parent(s)/guardian</b> allowed, at conclusion of petitioner's case, to <b>present evidence</b> in support of child's return? Rule 51(C)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court determined whether there was <b>probable cause</b> to believe that temporary custody was clearly necessary <b>to prevent further abuse or neglect</b> ? Rule 51(D)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. If <b>ICWA</b> , did the court determine, by clear and convincing evidence, including testimony from a qualified expert witness, whether <b>continued custody</b> by the parent / Indian custodian was likely to <b>result in serious emotional or physical damage</b> to the child? Rule 51(D)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. If the <b>petitioner failed to meet the burden of proof</b> , did the court order the return of the child to the parent, guardian or Indian custodian? Rule 51(D)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Initial Dependency Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
1. Was the hearing held:		
A. At the time of the PPH? ARS 8-842(A), Rule 52(B)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. Within 21 days of the filing of the petition? ARS 8-842(A), Rule 52(B)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
C. No sooner than 10 days following service by publication? ARS 8-842(A), Rule 52(B)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court:		
A. Order the <b>parent to provide the court</b> the <b>names</b> , type of relationship and all available information necessary to locate those related to the child or with a <b>significant relationship to the child</b> ?		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. <b>Inform CPS</b> immediately if they become aware of information re the <b>location of a relative or person with a significant relationship</b> with the child? ARS 8-842(B)(1), Rule 52(D)(10) (9/30/09) (PPH 12)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court determine that the <b>department</b> is attempting to identify and assess <b>placement</b> of the child with a <b>grandparent</b> or another member of the child's <b>extended family</b> including a person who has a significant relationship with the child? ARS 8-842(B)(2) (9/30/09) (PPH 9)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court		
A. Inquire regarding the <b>ICWA</b> status? ARS 8-815(A), Rule 52(C)(1) (PPH 2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. If there is reason to believe the child is an Indian child, order the petitioner to <b>obtain verification</b> of the child's Indian status? Rule 52(D)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
C. If ICWA applies, did the court <b>make findings pursuant to the ICWA standards</b> and burdens of proof as required, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? Rule 52(D)(9) (PPH 2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. Did the court <b>appoint counsel</b> ? Rule 52(C)(2) (PPH 3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. <b>Did the court determine if service completed or waived as to each party?</b> Rule 52(C)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. Did the court advise the <b>parent/guardian of right</b> to counsel, trial, cross examine witnesses, and compel attendance of witnesses, <i>to TPR jury trial</i> ? ARS 8-843(B), Rule 52(C)(4) (PPH 10)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
8. A. Did the court determine whether <b>paternity has been established</b> and take testimony from the mother concerning identity and location of any potential father? Rule 52(C)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. <b>Order that paternity be established</b> through paternity testing or authorize the execution of affidavits of paternity, as to any alleged father? Rule 52(D)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
9. Did the court inquire of the parent, guardian or Indian custodian whether they wish to <b>admit, deny</b> or not contest the allegations contained in the dependency petition. Rule 52(C)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
10. If <b>admission/no contest</b> , did the court determine that the parent/guardian <b>understood rights</b> and knowingly, voluntarily and intelligently waived these rights? ARS 8-843(C) (PPH 14)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
11. If <b>admission/no contest</b> , did the court proceed to dependency <b>adjudication hearing</b> and set or conduct a disposition hearing? If so, use Adjudication Hearing Tool. Rule 52(C)(6)(a)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
12. If denial, did the court <b>set a Settlement Conf., a PTC</b> or order the parties to attend <b>Mediation</b> and continue the child as a temporary ward? ARS 8-843(D), Rule 52(C)(6)(b) (PPH 20)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
13. Did the court:		
A. Enter findings as to <b>notification/service</b> upon parties?		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. Address the court's <b>jurisdiction</b> ? Rule 52(D)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
14. Did the court order the petitioner to <b>effectuate service by publication</b> if requirements have been established and the party cannot be reasonably be located? Rule 52(D)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
15. Did the court <b>set a continued IDH</b> for any party not served/not appearing? Rule 52(D)(5) (PPH 8)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
16. Did the court advise the parent, guardian or Indian custodian of the <b>consequences of failure to attend</b> subsequent <b>proceedings</b> and participate in reunification services? Rule 52(D)(8) (PPH 13)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
17. Did the court:		
A. <b>Determine if reasonable efforts made to prevent/eliminate need for removal and if services were available to eliminate need for cont removal?</b> ARS 8-843(E)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. <b>Enter the factual basis for this RE finding (check temporary orders)?</b> ARS 8-829(B) (PPH18)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
18. If in ADES custody, did the court <b>order ADES to make reasonable efforts</b> to provide services to the child and parent(s) to facilitate reunification? ARS 8-843(E)(1) (PPH 19)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Settlement Conference	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
1. At the conclusion of a settlement conference: A. If admission/no contest, did <b>court hold ADJ and set/conduct DIS</b> ? Rule 53(D)(1,2) B. If the parties could not reach agreement, did the court <b>set the date for ADJ</b> ? Rule 53(D)(3) C. If the court finds that the <b>parent failed to appear without good cause</b> shown, had notice, was properly serviced, and was previously admonished regarding the consequences of failure to appear, did the court adjudicate the child dependent, enter findings/orders and set or conduct DIS? Rule 53(D)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court advise the parent, guardian or Indian custodian of the <b>consequences of failure to attend subsequent proceedings</b> and participate in reunification services? Rule 53(D)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. If <b>ICWA</b> applies, did court make <b>findings</b> pursuant to the ICWA standards and burdens of proof, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 52(D)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Pre Trial Conference	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Child's Atty <input type="checkbox"/> Case Mgr <input type="checkbox"/> Other		
1. Regarding the plea: A. If admission/no contest, did court <b>conduct the ADJ &amp; set or conduct DIS</b> ? Rule 54(C)(1) B. If <b>agreement not reached</b> , did the court set ADJ? Rule 54(C)(2)(a) C. If the court finds that the <b>parent failed to appear without good cause shown</b> , had notice, was properly served, and was previously admonished regarding the consequences of failure to appear, did the court adjudicate the child dependent, enter findings/orders, and set or conduct DIS? Rule 54(C)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court advise the parent, guardian or Indian custodian of the <b>consequences of failure to attend subsequent proceedings</b> and participate in reunification services? Rule 54(C)(2)(b)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. If <b>ICWA</b> applies, did the court make <b>findings</b> pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? Rule 54(C)(2)(c)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Adjudication Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
1. If contested, did the court <b>hold a settlement, pretrial conference or mediation</b> prior to adjudication? ARS 8-844(A)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Was the hearing: A. Held within 90 days of service of the dependency petition? Rule 55(B) B. If continued beyond 90 days, did the court find extraordinary circumstances and set forth a factual basis for the continuance in writing? Rule 55(B)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. If admission / no contest, did the court determine whether: A. The party understands the rights being waived; <i>(PPH-14, IDH-10)</i> B. The admission / no contest plea made knowingly, intelligently and voluntarily; <i>(PPH 14, IDH 10)</i> C. A factual basis exists to support a finding of dependency? Rule 55(D)(1)(E)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. If parent failed to <b>appear without good cause</b> did the court find they had notice, were properly served and was previously admonished? Rule 55(D)(2) <i>(PTC -1C)</i>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. At the adjudication hearing, if the allegations are found true by preponderance of the evidence, did the court find: A. That it has jurisdiction over matter and persons before it; <i>(IDH-13B)</i> B. Factual basis for dependency; C. That the child was dependent? ARS 8-844(C)(1)(a), Rule 55(E)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. If the child was found to be dependent, did the court enter <b>orders</b> pending disposition regarding: A. placement <i>(PPH-16)</i> B. custody? Rule 55(E)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. If the allegations not found true by a preponderance of the evidence, did the court <b>dismiss</b> the dependency <b>petition</b> ? ARS 8-844(C)(2), Rule 55(E)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
8. Did the court conduct a <b>disposition hearing</b> or set it within 30 days? Rule 55(E)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
9. If <b>ICWA</b> applies, did the court make <b>findings</b> pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 55(E)(7) <i>(PPH- 2B ,IDH-4C, PTC- 3)</i>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
10. Did the court make specific findings that it advised the parent, guardian or Indian custodian of the <b>consequences</b> of failure to <b>attend subsequent proceedings</b> and <b>participate in reunification</b> services? Rule 55(E)(6) <i>(PPH-13, IDH-16, PTC-2, SET-2)</i>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Disposition Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
1. Was the hearing held within 30 days of adjudication or in conjunction with another hearing? Rule 56(B)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
2. Did the court determine the appropriate case plan? Rule 56(E)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
3. Did the court enter orders concerning appropriate services required to achieve case plan? Rule 56(E)(1)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
4. Did the court enter orders on:		
A. placement <span style="float: right;"><i>(PPH-16, ADJ- 6)</i></span>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. custody of the child? Rule 56(E)(2) <span style="float: right;"><i>(ADJ-6)</i></span>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
5. If <b>no reunification services to be provided</b> , did the court state that it found by clear and convincing evidence one or more of the following::		
A. Reasonable search had failed to <b>locate parent</b> ;	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Parent's mental illness of such magnitude they would <b>not benefit from reunification</b> efforts;	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
C. Child previously removed/adj <b>dependent twice for physical/sexual abuse</b> w/in last 18 mos;	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
D. Parent conspired or <b>convicted of murder/manslaughter</b> of another of their children;	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
E. Child suffered <b>serious physical/emotional injury</b> (ARS 8-831);	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
F. Parent's rights to another <b>child terminated</b> and parent has not addressed relevant issues;	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
G. After finding of dependency, found that child removed on at least two previous occasions, reunification services were provided upon removal and that the parents were <b>unable to discharge parental responsibilities</b> ? ARS 8-846(B)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
H. The parent or guardian has been <b>convicted</b> of aiding or abetting or attempting, conspiring or soliciting to commit any of the <b>crimes listed above</b> . ARS 8-846(B)(1,2,3)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
6. If no reunification, <b>court ordered</b> plan of adoption, <b>other permanent plan</b> or concurrent plan? ARS 8-845(C)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
7. If reunification efforts to continue, did the court <b>order the agency to make reasonable efforts</b> to provide reunification services? ARS 8-846(A) <span style="float: right;"><i>(PPH-20, IDH-21)</i></span>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
8. Did the court <b>set a review within 6 months of disposition</b> ? Rule 56(E)(3)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
9. Did the court <b>set the Permanency hearing</b> ? Rule 56(E)(3)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
10. Did the court advise the parties present at the hearing of their <b>right to participate in periodic review</b> hearings? Rule 56(E)(8)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
11. Did the court advise the parent, guardian or Indian custodian of the consequences of <b>failure to attend subsequent proceedings</b> and participate in reunification services? Rule 56(E)(5) <i>(ADJ-10)</i>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
12. If <b>ICWA</b> applies, did the court make <b>findings</b> pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 56(E)(6) <span style="float: right;"><i>(PPH-17, IDH-17, PTC-3, SET-3, ADJ-9)</i></span>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	

<b>Review Hearing</b>	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
1. Are periodic reviews occurring at least once every six months? ARS 8-847(A)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court address the <b>recommendations of FCRB</b> on the record? Rule 58(E)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court determine whether the <b>department has identified and assessed placement</b> of the child with a <b>relative</b> or person who has a <b>significant relationship</b> with the child? ARS 8-847 (E)(1), Rule 47.1(C)(1) (9/30/09)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court make the finding of fact that child continue to be dependent? Rule 58 (F)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. If continued <b>dependent</b> , did the court enter/reaffirm <b>orders</b> regarding: A. <b>legal custody</b> ; B. <b>placement</b> ; C. <b>services</b> ? Rule 58(F)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. Did the court <b>set a review hearing</b> within six months? Rule 58(F)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. Did the court <b>set Permanency Hearing</b> not more than 12 months from removal? Rule 58(F)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
8. Did the court advise the parent, guardian or Indian custodian of the <b>consequences</b> of failure to <b>attend subsequent proceedings</b> and participate in reunification services? Rule 58(F)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
9. If <b>ICWA</b> applies, did the court make <b>findings</b> pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 58(F)(7)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
10. If the court found the child(ren) not to be dependent, did the court <b>dismiss the petition</b> and return the child to the parent, guardian or Indian custodian? Rule 58 (F)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Permanency Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
<b>1. The hearing was held:</b> <b>A. within 30 days of Disposition if no reunification ordered; ARS 8-862(1)</b> <b>B. within six months if the child is under three years old; ARS 8-862(A), Rule 60(c)</b> <b>C. within 12 months after removal? ARS 8-862(A)(1)(3), Rule 60(C)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>2. Did the court :</b> <b>A. Determine the appropriate permanent plan for the child?</b> <b>B. Order that the plan be accomplished within a certain time frame? ARS 8-862(B), Rule 60(E)(1)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court set a review within six months? Rule 60(E)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. If <b>termination or guardianship</b> is determined to be the permanent plan, did the court: <b>A. Order the petition be filed within ten days</b> and appoint counsel for the parent; ARS 8-862 (D)(1), (F)(1), Rule 60(E)(3) <b>B. Set the Initial Termination / Guardianship Hearing</b> within 30 days? ARS 8-862 (D)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. Did the court make specific findings that it advised the parent, guardian or Indian custodian of the <b>consequences</b> of failure to <b>attend subsequent proceedings</b> and participate in reunification services? Rule 60(E)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. If <b>ICWA</b> applies, did the court make <b>findings</b> pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 60(E)(5) <span style="float: right;">(REV-9)</span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. If the child is in an <b>out of state placement</b> , did the court make a finding as to whether the placement continues to be appropriate and in the child's best interest? Rule 60(E)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>8. Did the court:</b> <b>A. Determine whether reasonable efforts were made to finalize plan? ARS 8-862(B)(2)</b> <b>B. Set forth the factual basis for this determination? ARS 8-829(B)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Initial Guardianship Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
1. Held within thirty days of permanency hearing? ARS 8-862(E)(2), Rule 62(B)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
2. Did the court appoint counsel (unless otherwise appointed)? ARS 8-872(D), Rule 62(C)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
3. Did the court determine whether service completed / waived? Rule 62(C)(4)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
4. Did the court advise the parent/guardian/Indian custodian of rights to counsel, to cross examine witnesses, trial and to compel attendance of witnesses? Rule 62(C)(6)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
5. Did the court determine whether the parent admits / does not contest or denies the allegations in the motion or petition for guardianship? Rule 62(C)(7)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
6. If admitted/not contested, did court proceed with Guard Adj Hrg? Rule 62(C)(7)(a)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
7. If denied, did the court set the trial within 90 days of permanency hearing? Rule 62(C)(7)(b)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
8. If the parent failed to appear, did the court find that they: Rule 62(C)(7)(c)		
A. Had notice of hearing;	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Were properly served;	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
C. Were previously admonished regarding the consequences of their failure to appear?	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
9. Did the court enter findings as to notification and service? Rule 62(D)(1)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
10. Set a continued initial guardianship hearing for those not served/appearing? Rule 67(D)(2)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
11. Did the court:		
A. Inquire regarding the ICWA? ARS 8-815(A), Rule 50(B)(1)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. If ICWA applies, make findings pursuant to the ICWA standards and burdens of proof, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? Rule 50(C)(6)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
12. Did the court address parent, guardian or Indian custodian in open court and advise the parent, guardian or Indian custodian that failure to appear at the guardianship pre-trial conference, settlement conference or guardianship adjudication hearing, without good cause shown, may go forward in their absence and may result in a finding that they have waived their legal rights and are deemed to have admitted the allegations in the motion for guardianship? Rule 62(D)(4)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	

Guardianship Adjudication Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
1. Was this hearing: A. Held within 90 days of permanency hearing? ARS 8-862(E)(2), Rule 63(B) B. If continued, held within 120 days of Permanency Hearing C. If continued beyond 30 days, did the court make written findings of extraordinary circumstances?		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. In accepting the parent(s) admission or plea of no contest, did the court determine whether: A. The party understood the rights being waived; B. The admission/plea of no contest was done knowingly, intelligently and voluntarily; C. A factual basis existed to support guardianship? Rule 63(D)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. If the parent failed to appear, did the court find that they: A. Had notice of the hearing; (IGU-8) B. Were properly served; (IGU-8) C. Were admonished re consequences of no attendance? Rule 63(D)(2) (IGU-8)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court make finding as to its jurisdiction over matter / persons before it? Rule 63(F)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. If the party filing guardianship motion/petition has met the burden of proof, did the court: A. Make specific findings of fact in support of guardianship and appoint guardian; B. Enter appropriate orders governing the powers and duties of the guardian; C. Enter appropriate visitation orders; D. Set an annual review and order preparation of a report for this review; E. Dismiss the dependency action? ARS 8-872(I), Rule 63(F)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. If the party filing motion/petition failed to meet the burden of proof, did the court: A. Deny the motion/petition for guardianship; B. Set review hearing, order parties to submit revised case plan? Rule 63(F)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. If ICWA applies, did the court make findings pursuant to ICWA standards and burdens of proof, including whether placement of the child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences. Rule 62(D)(5) (IGU-11)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Initial Successor Guardianship Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother's Atty <input type="checkbox"/> Father <input type="checkbox"/> Case Mgr <input type="checkbox"/> AAG <input type="checkbox"/> CASA	<input type="checkbox"/> Father's Atty <input type="checkbox"/> Child <input type="checkbox"/> Foster Parent <input type="checkbox"/> Rel. Plemnt	<input type="checkbox"/> Child's Atty <input type="checkbox"/> Other
1. Did the court <b>appoint counsel</b> for the proposed successor guardian if appropriate pursuant to Rule 38(B)? Rule 63.1(D)(2)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
2. Was the hearing set within 30 days after the motion was filed? Rule 63.1(D)(1)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
3. Did court appoint counsel for the child if a <b>GAL</b> has not been appointed? Rule 63.1(D)(3)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
4. Did the court determine whether: A. <b>Service</b> has been completed as ordered? B. The parent, guardian or Indian custodian <b>admits, denies, or does not</b> contest the allegations contained in the motion for appointment of a successor permanent guardian? Rule 63.2(A)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
5. At hearing, did the <b>court</b> : A. Inquire if any party has reason to believe that child at issue is subject to <b>ICWA</b> ; B. Determine whether <b>notice</b> of the hearing has been provided to those persons identified in Rule 63.1(c) in addition to the parent, Indian custodian and the child's <b>tribe</b> ? Rule 63.2(C)(2)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
6. Did the <b>court find</b> : A. Movant <b>met burden of proof</b> that proposed successor permanent guardian is suitable to assume to responsibilities of permanent guardian and that appointment would be in the child's best interest? B. If the court found that the movant met the burden of proof, did they grant the motion to terminate the appointment of the current permanent guardian and <b>appoint the proposed successor permanent guardian</b> as permanent guardian of the child? Rule 63.2(E)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA  <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
7. If successor permanent guardian was appointed, did the court <b>set a review hearing</b> within one year after the appointment? Rule 63.2(E)(3)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	

Initial Termination Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother <input type="checkbox"/> Case Mgr <input type="checkbox"/> Case Mgr		
1. Was the hearing held: A. If MOTION for termination is filed, within thirty days of permanency hearing; B. If PETITION for termination if filed, no sooner than 10 days following completion of service? ARS 8-862(D), Rule 65(B)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court appoint parent counsel (unless otherwise appointed)? Rule 65(C)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court appoint child counsel (if a GAL has not been appointed)? Rule 65(C)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court determine whether service completed or waived? Rule 65(C)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. Did the court advise parent/guardian/Indian custodian of their rights to: A. Counsel, including court appointed counsel if parent is indigent; B. Cross examine all witnesses who are called to testify against the parent; C. Trial by court on the termination motion or petition; and D. Use the process of the court to compel the attendance of witnesses? Rule 65(C)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. Did the court determine parent, guardian or Indian custodian's plea as to the allegations in the motion/petition for TPR? Rule 65(C)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. If admit/no contest, did court proceed with Termination Adjudication and enter findings and orders pursuant to Rule 66? Rule 65(C)(6)(a)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
8. If parent denies allegations in termination motion or petition, did the court: A. Set the trial within ninety days of the permanency hearing; B. Schedule pretrial conference or status conference if a petition was filed? Rule 65(C)(6)(b)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
9. If the parent failed to appear, without good cause, did the court find that the parent: A. Had notice of hearing; B. Was properly served; C. Was previously admonished regarding the consequences of their failure to appear, including a warning that the hearing could go forward in their absence and that failure may constitute a waiver of rights and an admission to the allegations contained in the motion or petition? Rule 65(C)(6)(c)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
10. Did the court enter findings as to notification and service upon the parties and the court's jurisdiction over the subject matter and persons before it? Rule 65(D)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
11. Did the court set continued hearing for party not served and not appearing? Rule 65(D)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
12. Did the court: • Address parent in open court and advise that failure to appear at the pretrial conference, status conference or termination adjudication hearing, without good cause, may result in a finding that parent has waived legal rights and is deemed to have admitted the allegations in the motion or petition? • Did the court advise parent that termination adjudication hearing may go forward in their absence and may result in the termination of parent rights based upon the record and evidence presented? Rule 65(D)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
13. Did the court inquire regarding and, if applicable, make findings pursuant to ICWA standards and burdens of proof, including whether placement of the child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rules 65(C) & (D)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

Termination Adjudication Hearing	Date	JO
	1 <sup>st</sup> Continued Date	# of Continuances
Parties Present at this Hearing	Scheduled Time:	Start Time:
<input type="checkbox"/> Mother <input type="checkbox"/> Mother's Atty <input type="checkbox"/> Father <input type="checkbox"/> Father's Atty <input type="checkbox"/> Child <input type="checkbox"/> Child's Atty <input type="checkbox"/> Case Mgr <input type="checkbox"/> AAG <input type="checkbox"/> CASA <input type="checkbox"/> Foster Parent <input type="checkbox"/> Rel. Plcmnt <input type="checkbox"/> Other		
<b>1. Did the court:</b> <b>A. Hold the hearing within 90 days of the permanency hearing;</b> <b>B. Continue no more than 30 additional days;</b> <b>C. If continued beyond 30 days, did the court make written findings of extraordinary circumstances? Rule 66(B)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>2. In accepting the parent(s) admission or plea of no contest, did the court determine whether:</b> <b>A. The party understands the rights being waived;</b> <b>B. No contest plea made knowingly, intelligently and voluntarily;</b> <b>C. A factual basis existed to support termination? Rule 66(D)(1)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>3. If parent failed to appear, without good cause shown, did the court find that the parent:</b> <b>A. Had notice of hearing; (ITE 9)</b> <b>B. Was properly served; (ITE 9)</b> <b>C. Was admonished re consequences of their failure to appear including a warning that the hearing could go forward in their absence and that failure to appear may constitute a waiver of rights and an admission of the allegation in motion or petition, that court may terminate rights base upon the record and evidence presented? Rule 66(D)(2) (ITE 9)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>4. If objections to the termination social study, did the court:</b> <b>A. Admit into evidence social study after redacting portions where objections sustained;</b> <b>B. Allow the petitioner reasonable opportunity to call additional witnesses to testify regarding the redacted portions of the social study? Rule 66(E)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>5. Did the court find jurisdiction over matter/persons before it? Rule 66(F)(1) (ITE 10)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>6. If the petitioner or moving party has met its burden of proof, did the court:</b> <b>A. Make specific findings of fact in support of termination and granted the motion for termination of parental rights;</b> <b>B. Appoint a guardian for the child or appoint a guardian for the child and vest legal custody in another person or authorized agency;</b> <b>C. Enter orders for financial support of the child;</b> <b>D. Set or reaffirm the dependency review hearing;</b> <b>E. If ICWA, made findings pursuant to standards including whether placement of the Indian child was in accordance with Section 1915 of the Act or whether there was good cause to deviate from this practice? ARS 8-8538, Rule 66(F)(2)(a-e)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>7. If the moving party/petitioner did not meet the burden of proof, did the court deny the termination motion or petition and order the parties to submit a revised case plan prior to the dependency review hearing? Rule 66(F)(3)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA



## *In Home Intervention Initial Hearing*

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>JO:</b>
		<b>Scheduled Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> <b>Mother</b>	<input type="checkbox"/> <b>Mother's Atty</b>	<input type="checkbox"/> <b>Father</b>	<input type="checkbox"/> <b>Father's Atty</b>
<input type="checkbox"/> <b>Child</b>	<input type="checkbox"/> <b>Child's Atty</b>	<input type="checkbox"/> <b>Case Mgr</b>	<input type="checkbox"/> <b>AAG</b>
<input type="checkbox"/> <b>CASA</b>	<input type="checkbox"/> <b>Foster Parent</b>	<input type="checkbox"/> <b>Rel. Plcmnt</b>	<input type="checkbox"/> <b>Other</b>
1. Did the court inquire whether the parent/guardian/Indian custodian wished to participate in in-home intervention and agree to a case plan and participation in services? Rule 48.1(C)(1)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court find that the child(ren) had not been removed (pursuant to Article 2, Chapter 10, Title 8 of ARS)? Rule 48.1(C)(2)(a)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court find that in-home intervention appears likely to resolve the risk issues described? Rule 48.1(C)(2)(b)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court find that the parent/guardian/Indian custodian agreed to a case plan and participation in services? Rule 48.1(C)(2)(c)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. Did the court find that one of the following conditions existed: Rule 48.1(C)(2)(d) A. The child is at risk of harm due to the inability or unwillingness of the parent/guardian/Indian custodian to provide food, clothing, shelter or medical care? B. The parent/guardian/Indian custodian is unable to provide proper care, control and supervision of the child.			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. Did the court order a specific time for completion of in-home intervention? Rule 48.1(C)(3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

## *In Home Intervention Review Hearing*

<i>Name:</i>	<i>JD#</i>	<i>Date:</i>	<i>JO:</i>
		<i>Scheduled Time:</i>	<i>Start Time:</i>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> <b>Mother</b>	<input type="checkbox"/> <b>Mother's Atty</b>	<input type="checkbox"/> <b>Father</b>	<input type="checkbox"/> <b>Father's Atty</b>
<input type="checkbox"/> <b>Child</b>	<input type="checkbox"/> <b>Child's Atty</b>	<input type="checkbox"/> <b>Case Mgr</b>	<input type="checkbox"/> <b>AAG</b>
<input type="checkbox"/> <b>CASA</b>	<input type="checkbox"/> <b>Foster Parent</b>	<input type="checkbox"/> <b>Rel. Plcmnt</b>	<input type="checkbox"/> <b>Other</b>
1. Did the hearing occur within one year of the date of the Initial In-Home Intervention Hearing? Rule 48.1(C)(3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. If the time ordered for in-home intervention expired without being extended by the court, did the court dismiss the dependency petition? Rule 48.1(C)(3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

## Preliminary Protective Hearing

Name:	JD#:	Date:	JO:
		Scheduled Time:	Start Time:
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> Mother	<input type="checkbox"/> Mother's Atty	<input type="checkbox"/> Father	<input type="checkbox"/> Father's Atty
<input type="checkbox"/> Child	<input type="checkbox"/> Child's Atty	<input type="checkbox"/> Case Mgr	<input type="checkbox"/> AAG
<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Rel. Plcmnt	<input type="checkbox"/> Other	
1. A. Did the court inquire regarding <b>ICWA</b> ? ARS 8-815(A), Rule 50(B)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. If ICWA applies, did the court make <b>findings</b> pursuant to the ICWA standards and burdens of proof, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? Rule 50(C)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
2. Did the court <b>appoint counsel</b> ? Rule 50(B)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
3. Did the court <b>review the PhC agreements/stipulations</b> ? ARS 8-824 E(1), Rule 50(B)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
4. Did the court determine whether a proposed <b>case plan for services</b> has been submitted and is appropriate? Rule 50(B)(8)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
5. Did the court determine whether ADES made arrangements for assembly of <b>child's medical records</b> , a medical assessment, has implemented referrals, and communicated recommendations and results. <b>Rule 50(B)(9)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
6. If no agreement was reached on placement, did the court conduct a <b>review of temporary custody</b> ? If so, use following Review of Temporary Custody Tool as well. Rule 50(B)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
7. A. Did the court <b>conduct the IDH</b> for any party who is present and has been served?		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. <b>Set a continued IDH</b> for any party not served/appearing? Rule 50(B)(7)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
8. A. Did the court determine whether ADES attempted to <b>identify &amp; assess placement with grandparent</b> or other extended family member including a person with a significant relationship with the child? ARS 8-829(A)(2), 8-824(E)(10)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Enter the <b>factual basis</b> for this determination? ARS 8-829(B) (9/30/09)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
9. Did the court <b>advise the parent</b> or guardian of their <b>rights</b> to counsel, to cross-examine all witnesses, to trial by court on the allegations in the petition? ARS 8-829(D)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
10. Did the court provide an opportunity for the parent(s), guardian and any other person who has relevant knowledge, to <b>provide relevant testimony</b> ? ARS 8-824(E)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
11. Did the court inform the parent(s)/guardian that the hearing may result in further proceedings to <b>terminate parental rights</b> ? ARS 8-824(E)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
12. Did the court order the parent or guardian to provide the court the names, type of relationship and all available information necessary to <b>locate persons related to the child</b> or who have a significant relationship with the child. The court shall further order the parent or guardian to inform the department immediately if the parent or guardian becomes aware of information related to the existence or location of a relative or person with a significant relationship to the child. ARS 8-824(E)(7), Rule 50(C)(7) (9/30/09)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
13. Did the court advise the parent, guardian or Indian custodian of the <b>consequences of failure to attend</b> subsequent proceedings ARS 8-824(E)(8), Rule 50(C)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
14. If parent(s) <b>admitted or did not contest</b> , did the court determine that the parent understood their rights and that they knowingly, intelligently and voluntarily <b>waived these rights</b> ? ARS 8-824(H)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
15. Did court determine if <b>temporary custody clearly necessary</b> to prevent abuse / neglect? ARS 8-825(C)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
16. <b>Did the court enter orders regarding placement and visitation pending the determination of the dependency petition</b> ? ARS 8-824(I)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
17. <b>Did the court make a determination as to whether the tasks set forth in the case plan were reasonable and necessary to carry out the case plan goal</b> ? ARS 8-824(I)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
18. A. <b>Did the court determine reasonable efforts / reasonable to make no efforts to prevent removal or eliminate the need for removal of the child, if services are available that would eliminate the need for continued removal.</b> ARS 8-825(D), 8-829(A)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. <b>The factual basis for the RE finding if not in the temporary orders?</b> ARS 8-829(B)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
19. If in ADES custody, did the court order <b>ADES to make reasonable efforts</b> to provide services to the child and parent(s) to facilitate reunification? ARS 8-825(D)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
20. A. If parent(s) denied allegations, did court <b>set date for SET, PTC, or MED</b> ?		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. <b>Admonished</b> the parent(s) re failure to appear and/or participate in future hearings? ARS 8-826		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
21. Were <b>copies</b> of all findings, orders and agreements made available to the parties in the form of a signed minute entry at the conclusion of the hearing? Rule 50(C)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
22. A. Did the <b>court determine if the GAL or attorney (child) visited</b> the child(ren) <b>prior</b> to the PH/substantive hearing? ARS 8-221, Rule 40.1		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Did the <b>GAL or attorney (child) inform</b> the court re: the visit with the child(ren) <b>prior</b> to the PPH/substantive hearing? ARS 8-221, Rule 40.1		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	

## Review of Temporary Custody Hearing

<i>Name:</i>	<i>JD#</i>	<i>Date:</i>	<i>JO:</i>
		<i>Scheduled Time:</i>	<i>Start Time:</i>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> Mother	<input type="checkbox"/> Mother's Atty	<input type="checkbox"/> Father	<input type="checkbox"/> Father's Atty
<input type="checkbox"/> Child	<input type="checkbox"/> Child's Atty	<input type="checkbox"/> Case Mgr	<input type="checkbox"/> AAG
<input type="checkbox"/> CASA	<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Rel. Plcmnt	<input type="checkbox"/> Other
1. Evidence presented in support or to <b>rebut temp custody finding</b> ? Rule 51(C)(1)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Was evidence relating only to <b>placement, visitation or services</b> permitted as it related to the issue of continued temporary custody? Rule 51(C)(2)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Was the parent(s)/guardian allowed, at conclusion of petitioner's case, to <b>present evidence</b> in support of child's return? Rule 51(C)(3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court determined whether there was probable cause to believe that <b>temporary custody</b> was <b>clearly necessary</b> to prevent further abuse or neglect? Rule 51(D)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. <b>If ICWA</b> , did the court determine, by clear and convincing evidence, including testimony from a qualified expert witness, whether continued custody by the parent / Indian custodian was likely to result in serious emotional or physical damage to the child? Rule 51(D)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. If the petitioner failed to meet the <b>burden of proof</b> , did the court order the return of the child to the parent, guardian or Indian custodian? Rule 51(D)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

# Initial Dependency Hearing

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>JO:</b>
		<b>Scheduled Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> Mother	<input type="checkbox"/> Mother's Atty	<input type="checkbox"/> Father	<input type="checkbox"/> Father's Atty
<input type="checkbox"/> Child	<input type="checkbox"/> Child's Atty	<input type="checkbox"/> Case Mgr	<input type="checkbox"/> AAG
<input type="checkbox"/> CASA	<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Rel. Plcmnt	<input type="checkbox"/> Other
<b>1. Was the initial dependency hearing held at the time of the preliminary protective hearing if the parent, guardian, or Indian custodian appeared? ARS 8-842(A), Rule 52(B)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>2. A. Did the court order the parent to provide the court the names, type of relationship and all available information necessary to locate those related to the child or with significant relationship to the child?</b> <b>B. Inform the department</b> immediately if they become aware of information re the existence/location of a relative or person with a significant relationship with the child? ARS 8-842(B)(1), Rule 52(D)(10) <span style="float: right;">(PPH-12)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>3. Did the court determine that the department is attempting to identify and assess placement of the child with a grandparent or another member of the child's extended family including a person who has a significant relationship with the child? ARS 8-842(B)(2)</b> <span style="float: right;">(PPH-9)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>4. A. Did the court query as to ICWA status? ARS 8-815(A), Rule 52(C)(1)</b> <b>B. If there is reason to believe the child is an Indian child, order the petitioner to obtain verification of the child's Indian status? Rule 52(D)(3)</b> <b>C. If ICWA applies, did the court make findings pursuant to the ICWA standards and burdens of proof as required, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? Rule 52(D)(9)</b> <span style="float: right;">(PPH-2)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>5. Did the court appoint counsel? Rule 52(C)(2)</b> <span style="float: right;">(PPH-3)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>6. Did the court determine if service completed or waived as to each party? Rule 52(C)(3)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>7. Did the court advise the parent/guardian of right to counsel, trial, cross examine witnesses, and compel attendance of witnesses, to TPR jury trial? ARS 8-843(B), Rule 52(C)(4)</b> <span style="float: right;">(PPH-10)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>8. A. Did the court determine whether paternity has been established and take testimony from the mother concerning identity and location of any potential father? Rule 52(C)(5)</b> <b>B. Order that paternity be established</b> through paternity testing or authorize the execution of affidavits of paternity, as to any alleged father? Rule 52(D)(4)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>9. Did the court inquire of the parent, guardian or Indian custodian whether they wish to admit, deny or not contest the allegations contained in the dependency petition. Rule 52(C)(6)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>10. If admission/no contest, did the court determine that the parent/guardian understood rights and knowingly, voluntarily and intelligently waived these rights? ARS 8-843(C)</b> <span style="float: right;">(PPH-14)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>11. If admission/no contest, did the court proceed to dependency adjudication hearing and set or conduct a disposition hearing? Rule 52(C)(6)(a)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>12. If denial, did the court set a Settlement Conf., a PTC or order the parties to attend Mediation and continue the child as a temporary ward? ARS 8-843(D), Rule 52(C)(6)(b)</b> <span style="float: right;">(PPH-21)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>13. A. Did the court enter findings as to notification/service upon parties?</b> <b>B. Address Court's jurisdiction? Rule 52(D)(1)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>14. Did the court order the petitioner to effectuate service by publication if requirements have been established and the party cannot be reasonably be located? Rule 52(D)(2)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>15. Did the court set a continued IDH for any party not served/not appearing? Rule 52(D)(5)</b> <span style="float: right;">(PPH- 8)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>16. Did the court advise the parent, guardian or Indian custodian of the consequences of failure to attend subsequent proceedings and participate in reunification services? Rule 52(D)(8)</b> <span style="float: right;">(PPH-13)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>17. A. Did the court determine if reasonable efforts made to prevent/eliminate need for removal and if services were available to eliminate need for cont removal? ARS 8-843(E)</b> <b>B. The factual basis for RE finding if the court did not do so in the temporary orders? ARS 8-829(B)</b> <span style="float: right;">(PPH-18)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>18. If in ADES custody, did the court order ADES to make reasonable efforts to provide services to the child and parent(s) to facilitate reunification? ARS 8-843(E)(1)</b> <span style="float: right;">(PPH-19)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>19. A. Did the court determine if the GAL or attorney (child) visited the child(ren) prior to the PPH/substantive hearing or within 14 days of the PPH? ARS 8-221, Rule 40.1</b> <b>B. Did the GAL or attorney (child) inform the court re: the visit with the child(ren) prior to the PPH/substantive hearing or within 14 days of PPH? ARS 8-221, Rule 40.1</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

## Settlement Conference

<i>Name:</i>	<i>JD#</i>	<i>Date:</i>	<i>JO:</i>
		<i>Scheduled Time:</i>	<i>Start Time:</i>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> <b>Mother</b>	<input type="checkbox"/> <b>Mother's Atty</b>	<input type="checkbox"/> <b>Father</b>	<input type="checkbox"/> <b>Father's Atty</b>
<input type="checkbox"/> <b>Child</b>	<input type="checkbox"/> <b>Child's Atty</b>	<input type="checkbox"/> <b>Case Mgr</b>	<input type="checkbox"/> <b>AAG</b>
<input type="checkbox"/> <b>CASA</b>	<input type="checkbox"/> <b>Foster Parent</b>	<input type="checkbox"/> <b>Rel. Plcmnt</b>	<input type="checkbox"/> <b>Other</b>
1. At the conclusion of a settlement conference: A. If an admission or no contest, did the court <b>proceed with ADJ and set or conduct DIS?</b> Rule 53(D)(1,2)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. If the parties could not reach agreement, did the court <b>set/affirm the date for ADJ?</b> Rule 53(D)(3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
C. If the court finds that the <b>parent failed to appear without good cause</b> shown, had notice, was properly serviced, and was previously admonished regarding the consequences of failure to appear, did the court adjudicate the child dependent, enter findings/orders and set or conduct DIS? Rule 53(D)(2)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court advise the parent, guardian or Indian custodian of the consequences of failure to <b>attend subsequent proceedings</b> and participate in reunification services? Rule 53(D)(4)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. <b>If ICWA</b> applies, did the court make findings pursuant to the ICWA standards and burdens of proof, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 52(D)(5)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

## Pre Trial Conference

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>JO:</b>
		<b>Scheduled Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> <b>Mother</b>	<input type="checkbox"/> <b>Mother's Atty</b>	<input type="checkbox"/> <b>Father</b>	<input type="checkbox"/> <b>Father's Atty</b>
<input type="checkbox"/> <b>Child</b>	<input type="checkbox"/> <b>Child's Atty</b>	<input type="checkbox"/> <b>Case Mgr</b>	<input type="checkbox"/> <b>AAG</b>
<input type="checkbox"/> <b>CASA</b>	<input type="checkbox"/> <b>Foster Parent</b>	<input type="checkbox"/> <b>Rel. Plcmnt</b>	<input type="checkbox"/> <b>Other</b>
1. A. If the parent admits/no contest, did the court conduct the ADJ and set or conduct DIS? Rule 54(C)(1)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. If agreement not reached, did the court set ADJ? Rule 54(C)(2)(a)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
C. If the court finds that the parent failed to appear without good cause shown, had notice, was properly served, and was previously admonished regarding the consequences of failure to appear, did the court adjudicate the child dependent, enter findings/orders, and set or conduct DIS? Rule 54(C)(2)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court advise the parent, guardian or Indian custodian of the consequences of failure to attend subsequent proceedings and participate in reunification services? Rule 54(C)(2)(b)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. If ICWA applies, did the court make findings pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? Rule 54(C)(2)(c)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

## Adjudication Hearing

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>JO:</b>
		<b>Schedule Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> Mother	<input type="checkbox"/> Mother's Atty	<input type="checkbox"/> Father	<input type="checkbox"/> Father's Atty
<input type="checkbox"/> Child	<input type="checkbox"/> Child's Atty	<input type="checkbox"/> Case Mgr	<input type="checkbox"/> AAG
<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Rel. Plcmt	<input type="checkbox"/> Other	<input type="checkbox"/> CASA
1. If contested, did court hold a settlement, pretrial conference or mediation prior to adjudication? ARS 8-844(A)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
2. <b>If admission / no contest, did the court determine whether:</b>			
<b>A. The party understands the rights being waived;</b> <span style="float: right;"><i>(PPH 14, IDH 10)</i></span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
<b>B. The admission / no contest plea made knowingly, intelligently and voluntarily;</b> <span style="float: right;"><i>(PPH 14, IDH 10)</i></span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
<b>C. A factual basis exists to support a finding of dependency? Rule 55(D)(1)(E)(3)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
3. If <b>parent failed to appear</b> without good cause did the court find they had notice, were properly served and was previously admonished? Rule 55(D)(2) <span style="float: right;"><i>(PTC 1C)</i></span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
4. <b>At the adjudication hearing, if the allegations are found true by preponderance of the evidence, did the court find:</b>			
<b>A. That it has jurisdiction over matter and persons before it;</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
<b>B. Factual basis for dependency;</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
<b>C. That the child was dependent? ARS 8-844(C)(1)(a), Rule 55(E)(3)</b>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
5. If the child was found to be dependent, did the court <b>enter orders</b> pending disposition regarding:			
A. placement <span style="float: right;"><i>(PPH-16)</i></span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. custody? Rule 55(E)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
6. If the allegations not found true by a preponderance of the evidence, did the court <b>dismiss</b> the dependency petition? ARS 8-844(C)(2), Rule 55(E)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
7. Did the court conduct a disposition hearing or set it within 30 days? Rule 55(E)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
8. <b>If ICWA applies</b> , did the court make findings pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 55(E)(7) <span style="float: right;"><i>(PPH-1B, IDH, 4C, PTC 3)</i></span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
9. Did the court make specific findings that it advised the parent, guardian or Indian custodian of the <b>consequences of failure to attend</b> subsequent proceedings and participate in reunification services? Rule 55(E)(6) <span style="float: right;"><i>(PPH 13, IDH-16, PTC-2, SET-2)</i></span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
10. A. Did the court determine if the GAL or attorney (child) <b>visited</b> the child(ren) <b>prior</b> to this hearing/substantive hearing or within 14 days of the PPH? ARS 8-221, Rule 40.1		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Did the GAL or attorney (child) inform the court re: the <b>visit</b> with the child(ren) <b>prior</b> to this hearing/substantive hearing or within 14 days of PPH? ARS 8-221, Rule 40.1		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	

## Disposition Hearing

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>JO:</b>
		<b>Scheduled Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> Mother	<input type="checkbox"/> Mother's Atty	<input type="checkbox"/> Father	<input type="checkbox"/> Father's Atty
<input type="checkbox"/> Child	<input type="checkbox"/> Child's Atty	<input type="checkbox"/> Case Mgr	<input type="checkbox"/> AAG
<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Rel. Plcmtnt	<input type="checkbox"/> CASA	<input type="checkbox"/> Other
1. Was the hearing held within 30 days of adjudication or in conjunction with another hearing? Rule 56(B)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court determine the appropriate case plan? Rule 56(E)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court enter orders concerning appropriate services required to achieve case plan? Rule 56(E)(1)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court enter orders on:			
A. <u>placement</u>		(PPH-16, ADJ- 6)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. <u>custody of the child?</u> Rule 56(E)(2)		(ADJ-5B)	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. If <b>no reunification services</b> to be provided, did the court state that it found by clear and convincing evidence one or more of the following::			
A. Reasonable search had <b>failed to locate parent</b> ;			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. Parent's mental illness of such magnitude they would not <b>benefit from reunification efforts</b> ;			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
C. Child previously removed/adj dependent twice for <b>physical/sexual abuse w/in last 18 mos</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
D. Parent conspired or <b>convicted of murder/manslaughter</b> of another of their children;			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
E. Child suffered <b>serious physical/emotional injury</b> (ARS 8-831);			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
F. Parent's <b>rights to another child terminated</b> and parent has not addressed relevant issues;			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
G. After finding of dependency, found that child removed on at least two previous occasions, reunification services were provided upon removal and that the <b>parents were unable to discharge parental responsibilities?</b> ARS 8-846(B)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
H. The parent or guardian has been <b>convicted</b> of aiding or abetting or attempting, conspiring or soliciting to commit <b>any of the crimes listed above.</b> ARS 8-846(B)(1,2,3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. If <b>no reunification, court ordered plan</b> of adoption, other permanent plan or concurrent plan? ARS 8-845(C)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. If reunification efforts to continue, did the court order the agency to make <b>reasonable efforts to provide reunification</b> services? ARS 8-846(A) <span style="float: right;">(PPH-20, IDH-21)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
8. Did the court <b>set a review within 6 months</b> of disposition? Rule 56(E)(3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
9. Did the court <b>set the Permanency hearing?</b> Rule 56(E)(3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
10. Did the court advise the parties present at the hearing of their right to <b>participate in periodic review hearings?</b> Rule 56(E)(8)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
11. Did the court advise the parent, guardian or Indian custodian of the <b>consequences</b> of failure to <b>attend subsequent proceedings</b> , participate in reunification services? Rule 56(E)(5)(ADJ-10)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
12. <b>If ICWA applies</b> , did the court make <b>findings</b> pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 56(E)(6) <span style="float: right;">(PPH-17, IDH-17, PTC-3, SET-3, ADJ-9)</span>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
13. A. Did the court determine if the <b>GAL or attorney (child) visited</b> the child(ren) <b>prior</b> to this hearing/substantive hearing or within 14 days of the PPH? ARS 8-221, Rule 40.1			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. Did the <b>GAL or attorney (child) inform the court</b> re: the visit with the child(ren) <b>prior</b> to this hearing/substantive hearing or within 14 days of PPH? ARS 8-221, Rule 40.1			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

## Review Hearing

<i>Name:</i>	<i>JD#</i>	<i>Date:</i>	<i>JO:</i>
		<i>Scheduled Time:</i>	<i>Start Time:</i>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> Mother	<input type="checkbox"/> Mother's Atty	<input type="checkbox"/> Father	<input type="checkbox"/> Father's Atty
<input type="checkbox"/> Child	<input type="checkbox"/> Child's Atty	<input type="checkbox"/> Case Mgr	<input type="checkbox"/> AAG
<input type="checkbox"/> CASA	<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Rel. Plcmnt	<input type="checkbox"/> Other
1. Are <b>periodic reviews</b> occurring at least once every six months? ARS 8-847(A)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court address the recommendations of <b>FCRB</b> on the record? Rule 58(E)(3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court determine whether the department has <b>identified and assessed placement</b> of the child with a <b>relative</b> or person who has a significant relationship with the child. ARS 8-847 (E)(1), Rule 47.1(C)(1)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court make the finding of fact that child continue to be <b>dependent</b> ? Rule 58 (F)(2)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. If continued <b>dependent</b> , did the court enter/reaffirm orders regarding: A. legal <b>custody</b> ; B. <b>placement</b> ; C. <b>services</b> ? Rule 58(F)(3)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. Did the court <b>set a review hearing</b> within six months? Rule 58(F)(4)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. Did the court <b>set Permanency Hearing</b> not more than 12 months from removal? Rule 58(F)(5)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
8. Did the court advise the parent, guardian or Indian custodian of the consequences of failure to <b>attend subsequent proceedings</b> and participate in reunification services? Rule 58(F)(6)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
9. If <b>ICWA applies</b> , did the court make findings pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 58(F)(7)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
10. If court found the child(ren) not to be dependent, did the court <b>dismiss the petition</b> and return the child to the parent, guardian or Indian custodian? Rule 58 (F)(1)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
11. A. Did the <b>court determine if the GAL or attorney (child) visited</b> the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. Did the <b>GAL or attorney (child) inform the court</b> re: the visit with the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

## Permanency Hearing

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>JO:</b>
		<b>Scheduled Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> Mother	<input type="checkbox"/> Mother's Atty	<input type="checkbox"/> Father	<input type="checkbox"/> Father's Atty
<input type="checkbox"/> Child	<input type="checkbox"/> Child's Atty	<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Rel. Plcmnt
<input type="checkbox"/> Case Mgr	<input type="checkbox"/> AAG	<input type="checkbox"/> CASA	<input type="checkbox"/> Other
<b>1. Did the court :</b> <b>A. Determine the appropriate <u>permanent plan</u> for the child?</b> <b>B. Order that the plan be accomplished within a certain <u>time frame</u>? ARS 8-862(B), Rule 60(E)(1)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>2. Did the court set a review within six months? Rule 60(E)(2)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>3. If termination / guardianship is determined best, did the court:</b> <b>A. Order the <u>petition be filed within ten days</u> and appoint counsel for the parent; ARS 8-862 (D)(1), (F)(1), Rule 60(E)(3)</b> <b>B. Set the <u>Initial Termination / Guardianship Hearing</u> within 30 days? ARS 8-862 (D)(2)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>4. Did the court make specific findings that it advised the parent, guardian or Indian custodian of the consequences of failure to <u>attend subsequent proceedings</u> and participate in reunification services? Rule 60(E)(4) <span style="float: right;"><i>(REV-8)</i></span></b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>5. If <u>ICWA</u> applies, did the court make findings pursuant to the standards and burdens of proof as required by the Act, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rule 60(E)(5) <span style="float: right;"><i>(REV-9)</i></span></b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>6. If the child is in an <u>out of state placement</u>, did the court make a finding as to whether the placement continues to be appropriate and in the child's best interest? Rule 60(E)(6)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>7. Did the court:</b> <b>A. Determine whether <u>reasonable efforts</u> were made to finalize plan? ARS 8-862(B)(2)</b> <b>B. Set forth a <u>factual basis</u> for this determination? ARS 8-829(B)</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
<b>8. A. Did the court determine if the <u>GAL or attorney (child)</u> visited the child(ren) prior to this hearing/substantive hearing? ARS 8-221, Rule 40.1</b> <b>B. Did the <u>GAL or attorney (child)</u> inform the court re: the visit with the child(ren) prior to this hearing/substantive hearing? ARS 8-221, Rule 40.1</b>			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

## Initial Guardianship Hearing

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>JO:</b>
		<b>Scheduled Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> Mother	<input type="checkbox"/> Mother's Atty	<input type="checkbox"/> Father	<input type="checkbox"/> Father's Atty
<input type="checkbox"/> Child	<input type="checkbox"/> Child's Atty	<input type="checkbox"/> Case Mgr	<input type="checkbox"/> AAG
<input type="checkbox"/> CASA	<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Rel. Plcmnt	<input type="checkbox"/> Other
1. Did the court <b>appoint counsel</b> (unless otherwise appointed)? ARS 8-872(D), Rule 62(C)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
2. Did the court determine whether <b>service completed / waived</b> ? Rule 62(C)(4)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
3. Did the court advise the <b>parent/guardian/Indian custodian of rights</b> to counsel, to cross examine witnesses, trial and to compel attendance of witnesses? Rule 62(C)(6)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
4. Did the court determine whether the <b>parent admits / does not contest or denies the allegations in the motion or petition for guardianship</b> ? Rule 62(C)(7)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
5. If admitted/not contested, did court <b>proceed with Guard Adj Hrg</b> ? Rule 62(C)(7)(a)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
6. If denied, did court <b>set the trial</b> within 90 days of permanency hearing? Rule 62(C)(7)(b)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
7. If the <b>parent failed to appear</b> , did the court find that they: Rule 62(C)(7)(c)			
A. Had <b>notice</b> of hearing;			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. Were properly <b>served</b> ;			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
C. Were previously <b>admonished</b> regarding the consequences of their failure to appear?			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
8. Did the court enter <b>findings as to notification and service</b> ? Rule 62(D)(1)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
9. <b>Set a continued initial guardianship</b> hearing for those not served/appearing? Rule 67(D)(2)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
10. A. Did the court inquire regarding <b>ICWA</b> ? ARS 8-815(A), Rule 50(B)(1)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. If ICWA applies, did the court make <b>findings</b> pursuant to the ICWA standards and burdens of proof, including whether placement of the Indian child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? Rule 50(C)(6)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
11. Did the court address parent, guardian or Indian custodian in open court and advise the parent, guardian or Indian custodian that <b>failure to appear</b> at the guardianship pre-trial conference, settlement conference or guardianship adjudication hearing, without good cause shown, may go forward in their absence and may result in a finding that they have waived their legal rights and are deemed to have admitted the allegations in the motion for guardianship? Rule 62(D)(4)			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
12. A. Did the <b>court determine if the GAL or attorney (child) visited</b> the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA
B. Did the <b>GAL or attorney (child) inform</b> the court re: the visit with the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1			<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA

## Initial Successor Guardianship Hearing

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>JO:</b>
		<b>Scheduled Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> <b>Mother</b>	<input type="checkbox"/> <b>Mother's Atty</b>	<input type="checkbox"/> <b>Father</b>	<input type="checkbox"/> <b>Father's Atty</b>
<input type="checkbox"/> <b>Child</b>	<input type="checkbox"/> <b>Child's Atty</b>	<input type="checkbox"/> <b>Case Mgr</b>	<input type="checkbox"/> <b>AAG</b>
<input type="checkbox"/> <b>CASA</b>	<input type="checkbox"/> <b>Foster Parent</b>	<input type="checkbox"/> <b>Rel. Plcmnt</b>	<input type="checkbox"/> <b>Other</b>
1. Did the court <b>appoint counsel</b> for the proposed successor guardian if appropriate pursuant to Rule 38(B)? Rule 63.1(D)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
2. Did the court <b>appoint counsel for the child</b> if a GAL has not been appointed? Rule 63.1(D)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
3. Did the court determine whether: A. <b>Service</b> has been completed as ordered? B. The parent, guardian or Indian custodian <b>admits, denies, or does not contest</b> the allegations contained in the motion for appointment of a successor permanent guardian? Rule 63.2(A)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
4. At hearing, did the court: A. Inquire if any party has reason to believe that child at issue is subject to ICWA. B. Determine whether <b>notice</b> of the hearing has been provided to those persons identified in Rule 63.1(c) in addition to the parent, Indian custodian and the child's tribe? Rule 63.2(C)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
5. Did the court find: A. <b>Movant met burden of proof</b> that proposed successor permanent guardian is suitable to assume to responsibilities of permanent guardian and that appointment would be in the child's best interest? B. If the court found that the movant met the burden of proof, did they grant the motion to terminate the appointment of the current permanent guardian and <b>appoint the proposed successor</b> permanent guardian as permanent guardian of the child? Rule 63.2(E)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
6. If successor permanent guardian was appointed, did the court <b>set a review hearing</b> within one year after the appointment? Rule 63.2(E)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
7. A. Did the <b>court determine if the GAL or attorney (child) visited</b> the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1 B. Did the <b>GAL or attorney (child) inform</b> the court re: the visit with the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	

## Guardianship Adjudication Hearing

<i>Name:</i>	<i>JD#</i>	<i>Date:</i>	<i>JO:</i>
		<i>Scheduled Time:</i>	<i>Start Time:</i>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> <b>Mother</b>	<input type="checkbox"/> <b>Mother's Atty</b>	<input type="checkbox"/> <b>Father</b>	<input type="checkbox"/> <b>Father's Atty</b>
<input type="checkbox"/> <b>Child</b>	<input type="checkbox"/> <b>Child's Atty</b>	<input type="checkbox"/> <b>Case Mgr</b>	<input type="checkbox"/> <b>AAG</b>
<input type="checkbox"/> <b>CASA</b>	<input type="checkbox"/> <b>Foster Parent</b>	<input type="checkbox"/> <b>Rel. Plcmnt</b>	<input type="checkbox"/> <b>Other</b>
1. In accepting the parent(s) <b>admission or plea</b> of no contest, did the court determine whether:			
A. The party <b>understood the rights</b> being waived;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. The admission/plea of no contest was <b>done knowingly, intelligently and voluntarily</b> ;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
C. A <b>factual basis</b> existed to support guardianship? Rule 63(D)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
2. If the <b>parent failed to appear</b> , did the court find that they:			
A. <b>Had notice</b> of the hearing; <span style="float: right;"><i>(IGU-7)</i></span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Were <b>properly served</b> ; <span style="float: right;"><i>(IGU-7)</i></span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
C. Were admonished re <b>consequences of no attendance</b> ? Rule 63(D)(2) <span style="float: right;"><i>(IGU-7)</i></span>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
3. Did the court make finding as to its <b>jurisdiction</b> over matter/persons before it? Rule 3(F)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
4. If the party filing guardianship motion/petition has <b>met the burden of proof</b> , did the court:			
A. Make specific <b>findings of fact</b> in support of guardianship and appoint guardian;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Enter appropriate orders governing the <b>powers and duties of the guardian</b> ;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
C. Enter appropriate <b>visitation orders</b> ;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
D. <b>Set an annual review</b> and order preparation of a report for this review;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
E. <b>Dismiss the dependency</b> action? ARS 8-872(I), Rule 63(F)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
5. If the party filing motion/petition <b>failed to meet the burden of proof</b> , did the court:			
A. <b>Deny</b> the motion/petition for guardianship;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. <b>Set review hearing</b> , order parties to submit revised case plan? Rule 63(F)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
6. <b>If ICWA</b> applies, did the court make <b>findings</b> pursuant to ICWA standards and burdens of proof, including whether placement of the child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences. Rule 62(D)(5) <i>(IGU-10)</i>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
7. A. Did the <b>court</b> determine if the <b>GAL or attorney (child) visited</b> the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Did the <b>GAL or attorney (child) inform the court</b> re: the visit with the child(ren) <b>prior</b> To this hearing/substantive hearing? ARS 8-221, Rule 40.1		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	

# Initial Termination Hearing

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>JO:</b>
		<b>Scheduled Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> <b>Mother</b> <input type="checkbox"/> <b>Mother's Atty</b> <input type="checkbox"/> <b>Father</b> <input type="checkbox"/> <b>Father's Atty</b> <input type="checkbox"/> <b>Child</b> <input type="checkbox"/> <b>Child's Atty</b> <input type="checkbox"/> <b>Case Mgr</b> <input type="checkbox"/> <b>AAG</b> <input type="checkbox"/> <b>CASA</b> <input type="checkbox"/> <b>Foster Parent</b> <input type="checkbox"/> <b>Rel. Plcmnt</b> <input type="checkbox"/> <b>Other</b>			
1. Did the court <b>appoint parent counsel</b> (unless otherwise appointed)? Rule 65(C)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
2. Did the court <b>appoint child counsel</b> (if a GAL has not been appointed)? Rule 65(C)(3)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
3. Did the court determine whether <b>service completed or waived</b> ? Rule 65(C)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
4. Did the court <b>advise</b> parent/guardian/Indian custodian of:			
A. <b>Right to counsel</b> , including court appointed counsel if the parent, guardian or Indian custodian is indigent;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Right to <b>cross examine</b> all witnesses who are called to testify against the parent, guardian or Indian custodian;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
C. Right to <b>trial</b> by court on the termination motion or petition; and		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
D. Right to use the process of the court to <b>compel the attendance of witnesses</b> ? Rule 65(C)(5)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
5. Did the court determine parent, guardian or Indian custodian's <b>plea</b> as to the allegations in the motion/petition for TPR? Rule 65(C)(6)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
6. If admit/no contest, did the court proceed with <b>Termination Adjudication</b> and enter findings and orders pursuant to Rule 66. Rule 65(C)(6)(a)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
7. If parent <b>denies allegations</b> in termination motion or petition, did the court:			
A. <b>Set the trial</b> within ninety days of the permanency hearing;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Schedule a <b>pretrial conference or status conference</b> if a petition was filed? Rule 65(C)(6)(b)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
8. If the <b>parent failed to appear</b> , without good cause, did the court find that the parent:			
A. Had <b>notice</b> of hearing;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Was properly <b>served</b> ;		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
C. Was <b>previously admonished</b> regarding the consequences of their failure to appear, including a warning that the hearing could go forward in their absence and that failure may constitute a waiver of rights and an admission to the allegations contained in the motion or petition Rule 65(C)(6)(c)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
9. Did the court enter findings as to <b>notification and service</b> upon the parties and the court's <b>jurisdiction</b> over the subject matter and persons before it? Rule 65(D)(1)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
10. Did the court <b>set continued hearing</b> for party not served and not appearing? Rule 65(D)(2)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
11. Did the court:			
<ul style="list-style-type: none"> <li>• Address parent in open court and advise that <b>failure to appear</b> at the pretrial conference, status conference or termination to adjudication hearing, without good cause, may result in a finding that parent has waived legal rights and is deemed to have admitted the allegations in the motion or petition?</li> </ul>		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
<ul style="list-style-type: none"> <li>• Did court advise parent that termination adjudication <b>hearing may go forward</b> in their absence and may result in the termination of parent rights based upon the record and evidence presented? Rule 65(D)(3)</li> </ul>			
12. Did the court inquire regarding and, if applicable, make <b>findings</b> pursuant to <b>ICWA</b> standards and burdens of proof, including whether placement of the child is in accordance with Section 1915 of the Act or whether there is good cause to deviate from the preferences? ARS 8-815(A), Rules 65(C) & (D)(4)		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
13. A. Did the <b>court determine</b> if the GAL or attorney (child) <b>visited</b> the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
B. Did the <b>GAL or attorney (child) inform</b> the court re: the visit with the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1		<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	

## Termination Hearing

<b>Name:</b>	<b>JD#</b>	<b>Date:</b>	<b>Judicial Officer:</b>
		<b>Scheduled Time:</b>	<b>Start Time:</b>
<b>Parties Present at this Hearing</b>			
<input type="checkbox"/> Mother	<input type="checkbox"/> Mother's Atty	<input type="checkbox"/> Father	<input type="checkbox"/> Father's Atty
<input type="checkbox"/> Child	<input type="checkbox"/> Child's Atty	<input type="checkbox"/> Case Mgr	<input type="checkbox"/> AAG
<input type="checkbox"/> CASA	<input type="checkbox"/> Foster Parent	<input type="checkbox"/> Rel. Plcmnt	<input type="checkbox"/> Other
<p>1. In accepting the parent(s) admission or plea of no contest, did the court determine whether:</p> <p>A. The party <b>understands the rights</b> being waived;</p> <p>B. No contest <b>plea made</b> knowingly, intelligently and voluntarily;</p> <p>C. A <b>factual basis</b> existed to support termination? Rule 66(D)(1)</p>		<p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p>	
<p>2. If parent <b>failed to appear, without good cause shown</b>, did the court find that the parent:</p> <p>A. Had <b>notice</b> of hearing; (ITE-9)</p> <p>B. Was properly <b>served</b>; (ITE-9)</p> <p>C. Was <b>admonished</b> re consequences of their failure to appear including a warning that the hearing could go forward in their absence and that failure to appear may constitute a waiver of rights and an admission of the allegation in motion or petition, that court may terminate rights base upon the record and evidence presented. Rule 66(D)(2) (ITE-9)</p>		<p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p>	
<p>3. If objections to the termination <b>social study</b>, did the court:</p> <p>A. Admit into evidence social study after <b>redacting portions</b> where objections sustained;</p> <p>B. Allow the petitioner reasonable opportunity to call <b>additional witnesses</b> to testify regarding the redacted portions of the social study? Rule 66(E)</p>		<p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p>	
<p>4. Did the court find <b>jurisdiction</b> over matter/persons before it? Rule 66(F)(1) (ITE-10)</p>		<p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p>	
<p>5. <b>If the petitioner or moving party has met its burden of proof</b>, did the court:</p> <p>A. Make specific <b>findings of fact</b> in support of termination and granted the motion for termination of parental rights;</p> <p>B. Appoint a guardian for the child or appoint a guardian for the child and vest <b>legal custody</b> in another person or authorized agency;</p> <p>C. Enter orders for <b>financial support</b> of the child;</p> <p>D. <b>Set or reaffirm the dependency review hearing</b>;</p> <p>E. <b>If ICWA</b>, made <b>findings</b> pursuant to standards including whether placement of the Indian child was in accordance with Section 1915 of the Act or whether there was good cause to deviate from this practice? ARS 8-8538, Rule 66(F)(2)(a-e)</p>		<p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p>	
<p>6. If the moving party/petitioner <b>did not meet the burden of proof</b>, did the court deny the termination motion or petition and order the parties to submit a revised case plan prior to the dependency review hearing? Rule 66(F)(3)</p>		<p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p>	
<p>7. A. Did the <b>court determine if the GAL or attorney (child) visited</b> the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1</p> <p>B. Did the <b>GAL or attorney (child) inform the court</b> re: the visit with the child(ren) <b>prior</b> to this hearing/substantive hearing? ARS 8-221, Rule 40.1</p>		<p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p> <p><input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA</p>	

IN THE SUPREME COURT OF THE STATE OF ARIZONA

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In the Matter of:	)	
	)	
ARIZONA CODE OF JUDICIAL	)	Administrative Order
ADMINISTRATION § 1-302:	)	<u>No. 2006 - 120</u>
EDUCATION AND TRAINING	)	(Replacing Administrative
	)	Order No. 99-08)
<hr/>	)	

The above captioned provision having come before the Arizona Judicial Council on December 7, 2006, and having been approved and recommended for adoption,

Now, therefore, pursuant to Article VI, Section 3, of the Arizona Constitution,

IT IS ORDERED that the above captioned provision, attached hereto, is adopted as a section of the Arizona Code of Judicial Administration effective January 1, 2007, replacing Administrative Order No. 99-08.

Dated this 20th day of December, 2006.

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RUTH V. MCGREGOR  
Chief Justice

**ARIZONA CODE OF JUDICIAL ADMINISTRATION**  
**Part 1: Judicial Branch Administration**  
**Chapter 3: Judicial Officers and Employees**  
**Section 1-302: Education and Training**

**A. Definitions.** In this section, the following definitions apply:

“Accredited program” means any formal educational activity approved by COJET, education services division or the local training coordinator.

“College course” means any formal education at an accredited institution for higher learning in which the coursework has a direct relationship to the Arizona judicial system or the individual employee’s job responsibilities.

“Committee-accredited sponsor” means an individual or organization in Arizona with a five-year track record in sponsoring continuing education programs, that has applied for and been granted this status by COJET.

“Committee or COJET” means Committee on Judicial Education and Training, a subcommittee of the Arizona Judicial Council.

“Continuing education” means training or education that leads to improved job-related skills, knowledge or abilities, or specialized skills that enhance the ability to perform the assigned job functions.

“Core curricula” means classes that satisfy the recommended courses of study adopted by COJET for all non-judge personnel in the Arizona court system.

“County training coordinator” means the local training coordinator designated in each county to compile all reports of compliance for review by the presiding judge and submission to education services at the end of calendar year.

“Credit hour” means an increment of time and quality of continuing education determined by COJET to constitute one credit toward the COJET educational requirements. In most instances, 60 minutes of education equals one credit hour.

“Education Services” means a division of the Administrative Office of the Courts (AOC) responsible for planning and implementing education for the judiciary, accrediting statewide and national programs, and overseeing a statewide network of training coordinators.

“Ethics training” means a training session dealing with issues related to appropriate personnel behavior, codes of conduct, fair treatment in the courts, or avoiding the occurrence or perception of impropriety in carrying out responsibilities. A session does need not be entitled ethics training to meet these criteria, as long as subject matter is ethics-related.

“Facilitator” means a specifically trained individual assisting faculty by leading local or small group activities that take place as part of a larger program

“Faculty” means an individual who plans, prepares, and presents an education program. This definition includes individuals who serve as moderator or coordinator of a panel, and individuals who perform one-to-one training activities as long measurable educational outcomes are created and pre-planning occurs.

“Faculty skill development” means a training program designed to foster quality adult education in Arizona courts, build a network of trainers at all levels of the judiciary, bring educational opportunities to the local level, and promote effective use of educational resources.

“Hearing officer, paid,” means an individual paid by the court to serve as a civil traffic or small claims hearing officer.

“Hearing officer, volunteer” means an individual who serves voluntarily as civil traffic or small claims hearing officer.

“Independent learning” means an individual study program accompanied by written or verbal feedback evaluating the program. Independent learning programs include videotape, audiotape, writing, ride-alongs, tours, or computer-based training programs.

“Judicial education” means continuing professional education for judges, probation and court personnel.

“Judge” means a judge, commissioner, or referee employed on a regular full-time or part-time basis.

“Judges pro tempore” mean officers of the court who have all of the duties and responsibilities of a judge employed on a regular full-time, part-time, or on-call basis.

“Local training coordinator” means the person designated in each court or department to coordinate continuing judicial education. This person keeps records, announces available training programs, accredits local programs, documents compliance with the standards, coordinates local training programs and may provide training to local court personnel.

“Local training program” means a continuing education program offered for employees of the court/department within the county of employment.

“On-call personnel” means employees who are available when summoned for service, do not have an established work schedule and whose schedule is on an as-needed basis.

“One-to-one training” means an individual training program formally planned which has stated educational outcomes and reference materials, and is not an orientation to the job duties for which the learner was hired.

“Orientation” means knowledge and skills necessary to begin the job and shall include ethics appropriate to the job.

“Prison/Jail Tour” means a tour of a federal, state or county operated detention facility that has stated educational outcomes and accompanied by verbal explanation from the tour guide.

“Probation personnel” means probation officers, surveillance officers, detention officers, youth supervisors, support staff, and any other staff assigned to probation departments and juvenile courts.

“Probation ride-along” means a ride-along with an experienced probation officer or surveillance officer that has stated educational outcomes and accompanied by verbal explanation from the accompanying officer.

“Regional, state or national training program” means continuing education program sponsored by an individual or organization and open to individuals in a large geographic area (for example, National Judicial College, National Center for State Courts, Institute for Court Management, private training institutions, etc.).

“Special status” means a college-based curricula design granted special status based on its applicability to the court system and its personnel.

“Standards” means the educational policies adopted by the supreme court that apply to all full-time and part-time judges, probation, and court personnel.

"Temporary personnel" means court staff that serve for a limited time, are contracted through a private employment agency, have an established ending date of employment, or as otherwise defined by the chief justice, the chief judge, the presiding judge of the superior court in each county, or their designee.

**B. Applicability.** The following standards govern the training and education of all judges, probation and court personnel in Arizona. The requirements and guidelines for accreditation and compliance with continuing judicial education and training are contained herein.

**C. Purpose.** The protection of the rights of free citizens depends upon the existence of an independent and competent judiciary. The task of maintaining judicial competence depends on the willingness of the judiciary itself to assure that its members are knowledgeable and skilled in the study of the law and its development, and that judges are trained in the application of legal principles and the art of judging. The personnel employed within the judicial system must also maintain a high level of competence to assist judges in carrying out their responsibilities and to provide accurate and timely services to the public. To the end that judicial independence and competence might be preserved and reinforced as essential elements of our system of government, the supreme court established an educational system for all judges and employees of the Arizona judicial department in November 1983.

## **D. Organization.**

1. Director of the Administrative Office of the Courts. Under the direction of the supreme court, the administrative director of the Administrative Office of the Courts (AOC) shall prepare guidelines for the implementation of the standards, and shall develop, administer, and coordinate judicial education programs throughout the state. The Committee on Judicial Education and Training (COJET) and the staff of the education services division of the AOC shall assist the director in this effort. The director shall inform all judges and court employees of the court's educational policies and standards and shall notify judges that orientation before or within twelve months of appointment or election and continuing judicial education are necessary in order to obtain and maintain professional competence. The director shall also provide state and local governments and courts with information concerning judicial education in order to bring about recognition of the need to support judicial education.
2. Education Services Division. The education services division of the AOC shall:
  - a. Prepare and implement an annual judicial education plan;
  - b. Coordinate all judicial education programs;
  - c. Staff COJET and its formal subcommittee meetings;
  - d. Conduct faculty development programs;
  - e. Evaluate educational programs;
  - f. Provide guidance to judges and judicial employees in the selection of appropriate educational opportunities;
  - g. Develop a network of trainers throughout the courts; and
  - h. Prepare an annual report on educational activities in the courts.
3. COJET. COJET shall oversee all standards, policies and procedures governing accreditation and compliance with judicial education in Arizona.
4. Training coordinators. Each court or department shall designate at least one staff person to serve as the local training coordinator for continuing judicial education. This person shall maintain records, provide opportunities for continuing education and training, accredit local programs, document compliance with the standards, coordinate local training programs and may provide training to local court personnel.
  - a. The courts in counties with a population of over 500,000 shall have a full-time training department supervised by a qualified employee at the supervisory or higher management level. The training staff shall dedicate all of their time to training and

- training-related activities. Every training officer shall complete a minimum of sixteen hours of planned training including ethics training, core curricula and train-the-trainer activities each year.
- b. The courts in counties with a population of less than 500,000 may have a full-time training department. They may also send their employees to training programs offered by larger counties or to other available training programs. Every agency without a full-time training department should appoint a training coordinator who may have duties other than training.
  - c. Any staff member, including the full-time training staff, who conducts an approved, planned training program, may receive up to eight hours of training credit per year for serving in a trainer or faculty capacity.
  - d. All courts and departments shall establish and maintain an accurate set of training records. The training supervisor or coordinator shall be responsible for those records.
5. Faculty. Faculty shall be selected based on subject matter expertise, faculty training, and creditability.
- a. Basic approach. Education and training programs shall emphasize the use of modern adult education principles that focus on participative learning. Faculty members shall be familiar with effective teaching techniques based on these principles.
  - b. Faculty skill development. To the extent permitted by available resources, faculty members shall receive instruction in adult education methods and assistance in preparing presentations and materials prior to teaching in a court-sponsored program.
  - c. Qualifications. The education faculty consists primarily of judges, members of the legal community, and court personnel who have expertise in the curriculum, knowledge of adult education principles, and the ability to prepare and present educational material effectively. Authorities from other disciplines shall be used when their expertise will contribute to the goals of a specific program.
  - d. Adult education principles. Faculty members are encouraged to use the following principles in their presentations:
    - (1) Creating a dialog with participants by encouraging their input concerning substantive areas;
    - (2) Asking participants questions to evaluate their comprehension and learning; and
    - (3) Providing interactive experiences as hypotheticals, mock hearings, and the like.

**E. Program Accreditation.** Only programs accredited by COJET, education services, the local training coordinators, or committee-accredited sponsors shall be eligible for COJET credit. Programs need to contribute directly to or have a primary purpose of improving the professional skills, competence, or ethical obligations of judges, probation and court personnel. Thus, such programs shall meet the accreditation requirements described herein.

1. The following requirements must be met to accredit a program:
  - a. The program shall have significant intellectual or practical content. The primary objective shall be to increase the participant's job-related professional competence and skills;
  - b. The program shall constitute an organized program of learning that contributes directly to or has a primary purpose of improving job-related professional competence and skills;
  - c. Programs shall be at least 30 minutes in length to qualify for accreditation. A combination of approved audio/video tapes may earn credit.
  - d. Breaks, non-substantive speeches, and business meetings shall not be included when calculating credit hours.
  - e. Education materials shall be prepared and activities to evaluate learning conducted by an individual or group qualified by practical or academic experience in a setting physically suitable to the educational activity of the program;
  - f. Unless clearly inappropriate for a particular course, participants attending a program shall receive written materials such as handouts, manuals, study guides, flowcharts, or substantial written outlines that pertain to the subject matter of the program. Brief outlines or agenda items are not sufficient to meet the requirements of this paragraph;
  - g. The program sponsor shall keep a record of attendance for each program and shall forward the attendance records, a copy of program materials and program evaluations to the party accrediting the program; and
  - h. The training coordinator must maintain the records of attendance for at least five years after the date of completion of the program.
2. Accredited programs are those that are job-related or relate to the justice system. Programs such as personal financial planning or others that are personally beneficial to the employee but are not job-related are not eligible for COJET credit.
3. Accreditation shall be granted in three ways:
  - a. Local programs. Training coordinators shall accredit a program offered locally for employees in their court or division when they meet the following criteria:

- (1) Prior to the program, the program sponsor or faculty shall submit a proposal with an agenda, time frames and any other supporting materials available. The proposal may be in the form of a letter with appropriate attachment;
  - (2) The local training coordinator shall evaluate the program for substantive value and potential hours of credit;
  - (3) The local training coordinator may accredit the program for a specific number of credit hours; and
  - (4) The sponsor shall, at the conclusion of the program, provide the training coordinator with an attendee list, a compilation of the participants' evaluation of the program, and a copy of any handouts and written materials.
- b. Individual employee programs. Training coordinators shall accredit a program attended by an individual assigned to them when they meet the following criteria:
- (1) Prior to the program, the individual shall submit to the local training coordinator an agenda, time frames, and any other supporting material available;
  - (2) The training coordinator shall evaluate the program for substantive value and potential hours of credit;
  - (3) The training coordinator may accredit the program for a specific number of hours; and
  - (4) The employee shall provide, at the conclusion of the program, the participant's evaluation of the program and a sample copy of any handouts and written materials, agenda, outline or other supporting material, as available.
- c. Regional or statewide programs. COJET or education services shall accredit a program offered to participants from a broad geographical or jurisdictional area. This procedure eliminates the need of each local training coordinator to accredit the same program for their local participants. The procedures for accreditation shall comply with the requirements of subsection (E)(1).
4. Non court-sponsored program. COJET credit may be given to non court-sponsored continuing education programs that meet accreditation guidelines and are applicable to the position the attendee holds in the judicial system or foster court-related career growth. Prior approval from a supervisor and training coordinator recommended.
  5. Dual accreditation of classes. A class may be accredited for both ethics and core curricula requirement at the state or local level if the class is more than two hours in length.
  6. Independent learning. The training coordinator may accredit independent learning programs. All activities shall meet accreditation requirements. A maximum of eight COJET hours in a calendar year may be granted for any combination of the following independent learning programs:

- a. Written articles or materials relevant to the judiciary. COJET hours may be granted for writing articles or other materials beyond the normal scope of the job position with pre-approval by the supervisor and training coordinator.
  - b. Videotapes and audiotapes. COJET hours may be granted for watching a video or listening to an audio tape accredited according to standards herein and pre-approved by a supervisor and training coordinator. If granted, COJET hours shall be accredited on a one-for-one credit basis. Local training coordinator or education services shall maintain a list of accredited tapes.
  - c. Books. COJET hours may be granted for reading and evaluating a book accredited according to standards herein and pre-approved by a supervisor and training coordinator.
  - d. Computer-based training. COJET hours may be granted for completing computer-based (CBT) or web-based (WBT) training accredited according to standards herein and pre-approved by a supervisor or training coordinator. Facilitator-led programs are eligible for hour-for-hour participation credit. Self-paced programs shall be pre-approved for credit hours by the training coordinator.
  - e. Serving as faculty. COJET hours may be granted to faculty who teach a COJET-accredited class. COJET hours shall be granted at the rate of three-for-one the first time the faculty member teaches the accredited class. COJET hours shall be granted at the rate of two-for-one for the second and each consecutive time the faculty member teaches the accredited class.
  - f. Serving as facilitator. COJET hours may be granted to a program facilitator at the rate of two-for-one for the time spent facilitating the program (broadcast facilitators, probation officer certification academy facilitators, etc.). Qualified facilitators shall earn facilitator credit for their work if pre-program training is included.
  - g. COJET hours may be granted for participating in court-related visits, tours, observations of court proceedings, and probation ride-alongs as described herein. Visits and tours may include jail or prison tours. Programs shall be accredited as provided in subsection (E)(l).
7. College courses. Credit for college courses may be accredited for two-for-one credit per college credit hour. The local training coordinator accredits these programs. Subject areas are at the discretion of the individual agency. Topics may include, but are not limited to, the following:
    - a. Organizational development, planning, and evaluation;
    - b. Management development, career options, and productivity;

- c. Supervisory training, case review, and performance appraisal (for example, interviewing, feedback, conducting meetings, and disciplinary action);
  - d. Team building, motivation, and job design;
  - e. Case flow and information management;
  - f. Space, facilities, equipment, and materials management;
  - g. In-service training, planning, and evaluation;
  - h. Budgeting, fiscal management, and quality control; and
  - i. Court, community, and agency relations.
8. Special status college courses. COJET or the local training coordinator may accredit special status college courses. Requests for accreditation of special status courses may be made for a series of courses in a curriculum or on a case-by-case basis for a specific class, and may be made by institutions offering courses using “Application for COJET Accredited Status by an Organization or Institution” or by individuals taking a university course. To receive credit, individuals shall send a written request to the education services division or their local training coordinator, providing the information outlined. These programs are eligible for COJET credit on a one-for-one basis for each hour of classroom attendance, up to the full sixteen hours in any COJET-reporting year.
9. Review of denial of accreditation. All appeals shall be made in writing no later than December 15 of each calendar year.
- a. Appeals of locally denied credit shall be submitted in writing to education services staff for review and determination.
  - b. Appeals of the education services division determination shall be submitted in writing to the COJET chair in care of the education services division director for presentation to the COJET executive committee. The COJET executive committee shall review the request, make a determination and reply to the applicant within fifteen business days of request.
10. Sponsor accreditation. Any person or organization with five years experience sponsoring continuing education programs may apply for status as a COJET-accredited sponsor. Sponsors accepted for accreditation will not be required to apply for accreditation of individual programs. Application to become a COJET-accredited sponsor shall be made by the person or organization seeking that status. Sponsors shall accredit their own programs using the criteria defined in subsection (E)(1). The sponsor’s typed application shall contain the following information:
- a. Whether or not the applicant is a non-profit organization;

- b. Information with respect to number of courses offered, location of courses and subject matter;
  - c. An estimate of the percentage of courses sponsored that relate to continuing judicial education as compared to courses that do not relate to continuing judicial education;
  - d. Description of the experience and qualifications of each person involved in sponsoring, lecturing, teaching, or moderating of the program;
  - e. Whether or not the sponsor is accredited by other organizations;
  - f. The approximate number of courses offered by the applicant in the preceding three years including location of courses, subject matter, number of credits given, number of persons attending, total number of hours of instruction and the names of the speakers, instructors, lecturers or moderators; and
  - g. A statement of willingness by the applicant to comply with COJET requirements for verification of attendance.
11. Upon receipt of the application, COJET will accept or deny and will promptly notify the applicant of the decision. COJET reserves the right, at any time, to condition or terminate the COJET-accredited status of any person or organization.

**F. Compliance.**

- 1. Full-time or part-time employees. All full-time and part-time judges and court personnel governed by these standards shall complete an annual minimum of sixteen hours of continuing education, including an ethics related course and job specific training..
- 2. New full-time or part-time employees. All new full-time or part-time judges and court personnel governed by these standards shall complete the following minimum requirements during their first calendar year of employment according to the following prorated schedule:

Employed During	Minimum requirements
January 1 – March 31	Twelve hours of required training & education, including orientation, ethics and core curricula as applicable.
April 1 – June 30	Eight hours of required training & education, including orientation, ethics and core curricula as applicable.
July 1 - September 30	Four hours of required training & education, including orientation, ethics and core curricula as applicable.
October 1 – December 31	Orientation and ethics as appropriate to the job position.

## **G. Non-Compliance.**

1. Judges. Judges who fail to comply with the standards and are not exempt are subject to disciplinary action in accordance with applicable canons of the Code of Judicial Conduct.
2. Probation and court personnel. Court personnel who fail to comply and are non-exempt may be subject to disciplinary action by their respective administrative authorities.

## **H. Exemptions.**

1. Permanent exemptions. Temporary or on-call personnel, other than judges and law clerks, are exempt from compliance with the standards unless ordered to participate in educational programs by their respective chief judge or presiding judge.
2. Temporary exemptions. Upon request, the chief justice, the chief judge, the presiding judge of the superior court in each county, or their designees may grant exemptions to judges and employees of their court for temporary circumstances, including but not limited to:
  - a. Medical or other physical conditions preventing active participation in educational programs;
  - b. Extended, approved leave of absence;
  - c. Military leave;
  - d. Extended jury duty;
  - e. Temporary or permanent medical waivers for defensive tactics courses, in accordance with ACJA §6-107 (G)(10).
3. Qualifications for temporary exemption. To qualify for an exemption, an employee shall demonstrate a good faith effort to comply by acquiring COJET credit hours on a pro rata basis of four hours per quarter. An employee on medical or other leave may also qualify for an exemption from the core curricula and ethics requirements.

## **I. Certification and Reporting Procedures.**

1. Individual compliance. Employees shall file compliance forms with designated training coordinators at the appropriate court or county level in accordance with local policies and procedures.
2. Department reporting.
  - a. The local training coordinator shall compile the compliance reports for all individuals in their court or department.

- b. The chief justice, the chief judge, the presiding judge of the superior court in each county, or their designee shall certify compliance, non-compliance, and exemptions by filing consolidated compliance reports for their respective courts or counties each year for the calendar year beginning January 1 and ending December 31.
  - c. The local training coordinator shall submit these reports no later than January 31 of each calendar year to the education services division using approved reporting formats. Reporting shall include:
    - (1) The number of compliant individuals;
    - (2) Number of non-compliant individuals, including name, department, reason for non-compliance and completed hours;
    - (3) Number of individuals exempt from compliance, including name, department, reason for exemption, completed hours, and duration of leave, as appropriate;
    - (4) List of all locally sponsored-programs;
    - (5) Documentation by the chief justice, the chief judge, the presiding judge of the superior court in each county to grant exemptions from compliance;
    - (6) The chief justice, the chief judge, the presiding judge of the superior court in each county definition of temporary staff; and
    - (7) Other information as requested by COJET, the AOC or the education services division.
3. County reporting. Education services division staff shall compile and distribute final countywide reports to county superior court presiding judges for final approval. Education services shall compile county reports into a statewide report for submission to the chief justice no later than February 28 of each year.

## **J. Requirements for Judges.**

- 1. Educational requirements.
  - a. Judges shall participate in orientation as applicable to their position and jurisdiction.
  - b. Judges shall complete a minimum of sixteen hours of approved course work each year, including ethics training and attendance at an annual judicial conference designated by the supreme court. A judge may be excused from the conference only if a written request is approved by the chief justice.
- 2. Participant's responsibilities. As required by Canons 3B (2) and (13) of the Code of Judicial Conduct, judges shall obtain and maintain professional competence through judicial education, spend such time as may reasonably be required to accomplish that purpose, support and assist other judges who may be attending judicial education programs as participants or faculty and, when reasonably able to do so, teach in judicial or legal education programs. In addition, judges shall report compliance with the standards by completing the reporting requirements described in subsection (I).

3. Educational standards.
  - a. Judicial education shall address relevant areas such as judicial competence, performance, case management, opinion writing, and administration.
  - b. Judicial education programs are designed to impart knowledge, improve skills and techniques and increase the understanding of judges regarding their responsibilities and their impact on the judicial process, the people involved, and society. Judicial education programs shall include:
    - (1) Orientation for new judges on procedures and functions of the applicable court and relevant procedural and substantive law;
    - (2) Education for new judges on major legal subjects and practical skills needed by them and appropriate to the jurisdiction of the court in which they serve;
    - (3) Periodic educational offerings for all judges on the substantive, procedural, and evidentiary laws of Arizona, the ethics of the profession, United States constitutional law and applicable federal law;
    - (4) Continuing education programs emphasizing new developments in the law and judicial administration, procedural and technological developments in the judicial system, opinion writing, and other programs to enhance the efficiency, abilities, and knowledge of each judge;
    - (5) Advanced and specialized programs; and
    - (6) Independent learning opportunities for judges including bench books, video and audio tapes, and other methods of independent learning.
4. Continuing education. Judges may attend a combination of approved local, regional or national programs in addition to the annual Arizona judicial conference. Judges should attend a program of regional or national scope at least once every three years to satisfy these requirements.
5. Appellate court judges.
  - a. Orientation. Before assuming office, or within twelve months after appointment, an experienced judge of the court in which a new appellate judge will serve shall provide an orientation on administrative procedures and operation and procedural and substantive law applicable to that court.
  - b. Continuing education. At least every second year, the chief judges of the court of appeals, in satisfaction of these requirements, should attend the annual seminar or meeting of the Council of Chief Judges of Courts of Appeals.
6. Superior court judges.
  - a. Orientation. Before assuming office, or within the first twelve months of assuming office, a new superior court judge shall receive orientation by an experienced judge of the superior court and shall complete the orientation requirements for judges of

general jurisdiction courts approved by COJET. Such orientations shall include procedures and functions of the superior court and applicable procedural and substantive law.

- b. Bench assignment. The presiding judge of the court shall determine if a superior court judge shall attend an approved program before assuming a new assignment in a specialized division. The judge shall complete the specialized dependency-training program approved by COJET before assuming a new assignment that involves dependency cases, or within the first twelve months of assuming the assignment.
7. Judges of limited jurisdiction courts. Judges shall participate in orientation provided by an experienced judge of a limited jurisdiction court and shall attend the orientation program for judges of courts of limited jurisdiction approved by COJET before assuming office, or within the first twelve months of assuming office. Such orientations shall include information regarding administrative procedures and functions and procedural and substantive law applicable to the court in which the judge serves.
  8. Judges pro tempore. Judges pro tempore are officers of the court and have all of the duties and responsibilities of a judge. Proper orientation and continuing education assure that judges pro tempore are provided with information, process descriptions and procedures necessary to fulfill their judicial role. Judges pro tempore shall be subject to the following requirements:
    - a. Superior court judges pro tempore.
      - (1) Full-time superior court judges pro tempore serving the full term allowed by statute shall:
        - (a) Complete new judge orientation requirements for superior court judges approved by COJET before assuming duties, or within the first twelve months of assuming duties;
        - (b) Complete sixteen hours of continuing education, including ethics; and
        - (c) Attend the annual judicial conference.
      - (2) Part-time superior court judges pro tempore appointed to serve less than full-time, but serving repeatedly on a regularly scheduled basis, shall:
        - (a) Complete a specialized training program approved by COJET before assuming duties, or within the first twelve months of assuming duties; and
        - (b) Complete other training deemed appropriate by the presiding judge of the court.
      - (3) On-call judges pro tempore shall complete training deemed appropriate by the presiding judge of the court.

b. Limited jurisdiction judges pro tempore.

- (1) All limited jurisdiction judges pro tempore shall receive orientation by an experienced judge of a limited jurisdiction court before assuming duties. Only the presiding judge of the superior court in the respective county may waive this requirement.
- (2) Full-time limited jurisdiction judges pro tempore shall:
  - (a) Complete the requirements of new judge orientation for limited jurisdiction judges approved by COJET prior to assuming duties, or within twelve months of assuming duties; and
  - (b) Complete sixteen hours of continuing education, including ethics, and shall attend the annual judicial conference.
- (3) Part-time limited jurisdiction judges pro tempore shall complete COJET-approved training before assuming duties.
- (4) The presiding judge of the superior court in the respective county may require part-time limited jurisdiction court judges pro tempore to complete other training deemed appropriate. Judges pro tempore shall sign an affidavit verifying completion of the required training. The local court shall submit the affidavit to the presiding judge of the superior court in the respective county.
- (5) The presiding judge of the county may delegate the determination of training needed for on-call judges pro tempore in justice and municipal courts to the municipal or justice court presiding judge.
  - (a) Before assuming duties, a limited jurisdiction court judge pro tempore who serves on an on-call basis must complete COJET-approved training.
  - (b) The presiding judge of the superior court in the respective county may require limited jurisdiction court judges pro tempore who serve on an on-call basis to complete other training deemed appropriate.
  - (c) A judge pro tempore in a limited jurisdiction court shall sign an affidavit verifying completion of the required training. The local court shall submit the affidavit to the presiding judge of the superior court in the respective county.

9. Civil traffic and small claims hearing officers. Hearing officers are officers of the court. Proper orientation and continuing education assure that hearing officers are provided with information, process descriptions and procedures necessary to fulfill their judicial role. Hearing officers shall be subject to the following requirements:

- a. All hearing officers shall complete a specialized training program approved by COJET before assuming, or within twelve months of assuming, hearing officer duties.
- b. Paid hearing officers shall complete a minimum of sixteen hours of approved course work each year, including ethics training. Course work may include attendance at an annual judicial conference designated by the supreme court.

- c. Volunteer hearing officers shall not be subject to the continuing education requirements of COJET. The presiding judge of the superior court in the respective county may require that volunteer hearing officers complete particular training programs.

#### **K. Standards for Administrators, Clerks and Court Personnel.**

1. Program requirements. Administrators, clerks and court personnel shall, at minimum, complete orientation within 90 days of hire and complete sixteen hours of approved course work each year, including ethics and core curricula training.
2. Core curricula requirements. The court has identified the following areas of education as essential to effective performance of duties in the court system: the Arizona court system, including current or local issues; and working and communicating effectively with others. An overview of these areas is required as part of orientation with the first 90 days of employment. In addition, at least one course in each area is required every other year. These areas of education may have programs bearing different titles.
3. Participant's responsibilities. Administrators, clerks and court personnel shall obtain and maintain professional competence through court-related education programs and shall report compliance with the standards by completing the reporting requirements described in subsections (F) and (I).
4. Curriculum standards. Court-related education and training programs shall:
  - a. Address the areas of proficiency, competency, and performance;
  - b. Impart knowledge and understanding of the Arizona judiciary and the legal process and increase the participant's understanding of the responsibilities of his or her position and its impact on the judicial process; and
  - c. Include:
    - (1) Local orientation within 90 days of hire or appointment;
    - (2) Attendance, as applicable, at local and regional seminars for clerks of each court;
    - (3) Advanced and specialized programs, if available and appropriate; and
    - (4) Independent learning opportunities including procedure manuals, video tapes, audio tapes and other methods of independent learning.
5. Orientation. Orientation for administrators, clerks, probation and court personnel shall take place upon assuming duties, but no later than 90 days; 30 days is recommended. Orientation shall include:
  - a. Explanation of the specific responsibilities of the office involved and familiarization with court structure and procedures; and

b. Overview of:

- (1) The Arizona judiciary, including the structure and function of each court;
- (2) Current issues in the courts, such as the Americans with Disabilities Act and ethics and diversity issues;
- (3) Expectations when dealing with the public in the courts;
- (4) An introduction to effective communication skills for court employees; and
- (5) Local court related issues.

6. Continuing education.

a. Administrators, clerks and court personnel shall complete training in the following two core curricula, to be alternated annually as determined by COJET:

- (1) Courses dealing with current and local issues within Arizona's court system; and
- (2) Courses dealing with public service, effective communication, customer service, or diversity.

b. Administrators, clerks, probation and court personnel shall also take courses, as applicable, in areas dealing with:

- (1) Rules, statutes, and constitutional provisions applicable to the requirements of each position;
- (2) Recording procedures, filing procedures and records management;
- (3) Courtroom procedures;
- (4) Court clerk training;
- (5) Jury management;
- (6) Uniformity of forms and procedures at each level of the court system;
- (7) Use of the Arizona Revised Statutes;
- (8) Financial, personnel, and time management; and
- (9) Public relations.

c. Court personnel shall attend periodic local training programs and a state or regional training program at least once every three years.

d. Court administrators, managers and directors should attend at least one out-of-state or one in-state program within each three-year time period, conducted by an established, nationally recognized training organization, such as:

- (1) Institute for Court Management;
- (2) National Council of Juvenile Court Judges;
- (3) National Judicial College;
- (4) National College of Juvenile Justice;
- (5) National Center for State Courts;
- (6) Institute of Judicial Administration; and
- (7) National Association for Court Managers.

7. Training coordinators. Staff who serve as training coordinators shall attend the training coordinator orientation from the administrative office of the courts within the first 90 days of appointment.

#### **L. Standards for Probation Personnel.**

1. Program requirements. Probation personnel shall complete orientation within 90 days of hire. Probation personnel shall also complete a minimum of sixteen hours of approved course work each year, including training in ethics and core curricula.
2. Core curricula requirements. The court has identified the following areas of education as essential to effective performance of duties in the court system: the Arizona court system, including current or local issues; and working and communicating effectively with others. An overview of these areas is required as part of orientation with the first 90 days of employment. In addition, at least one course in each area is required one every other year. These areas of education may have programs bearing different titles.
3. Continuing education. Probation personnel shall complete training in the following two core curricula, to be alternated annually as determined by COJET:
  - a. Courses dealing with current and local issues within Arizona's court system; and
  - b. Courses dealing with public service, effective communication, dealing with the public, and/or diversity.
4. Participant's responsibilities. Probation personnel shall obtain and maintain professional competence through court-related education programs and shall report compliance with the standards by completing the reporting requirements described in subsections (F) and (I).
5. Curriculum standards.
  - a. Training and staff development is defined as the human resource area that focuses on helping staff, through planned learning techniques, develop the key competencies needed to perform their current or future jobs. Court-related education shall address the areas of proficiency, competency, and performance.
  - b. Training and staff development programs are designed to impart knowledge, improve skills and techniques and increase probation officers' understanding of their responsibilities and their impact on the judicial system, clients and society, and shall offer programs that meet the educational needs of probation officers at various stages of their careers.

- c. Court-related education and training programs are designed to impart knowledge and understanding of the Arizona judiciary and the legal process and increase the participant's understanding of the responsibilities of the position and its impact on the judicial process.
  - d. Court-related education and training programs shall include:
    - (1) Orientation prior to assumption of caseload and casework responsibilities;
    - (2) Education for new probation officers on major probation subjects and practical skills needed by them and appropriate to the agency in which they work;
    - (3) Continuing education for probation staff emphasizing new developments in the probation field, procedural developments in the judicial system and training needed to enhance individual efficiency and abilities;
    - (4) Periodic educational offerings for management staff in organizational development and supervisory skills;
    - (5) Advanced and specialized programs for chief probation officers; and
    - (6) Independent learning opportunities for probation staff including video and audio tapes, and other methods of independent learning.
6. Standards for new probation officers.
- a. Orientation. Prior to assumption of caseload and casework responsibilities, all new adult and juvenile probation officers shall receive orientation within the first 90 days of employment. Specific subject areas shall include, but are not limited to:
    - (1) Agency mission, goals and objectives;
    - (2) Agency policies and procedures;
    - (3) Utilization of agency resources;
    - (4) Role of the professional probation officer;
    - (5) Court philosophy, judicial system roles, responsibilities and inter-relationships;
    - (6) Rules of criminal procedure, the criminal code, and sentencing alternatives (adult);
    - (7) Personnel procedures, performance appraisal, affirmative action, grievance procedures;
    - (8) Privacy, security and confidentiality of records; and
    - (9) Philosophy of staff development, training requirements and specific job responsibilities.
  - b. Probation officer certification academy. All new adult and juvenile probation officers shall successfully complete the probation officer certification academy within the first twelve months of employment. Specific training areas shall include, but are not limited to:
    - (1) Ethics;
    - (2) Courtroom testimony, responsibilities and behavior;
    - (3) Legal liabilities and issues in probation;

- (4) Understanding and managing probationer behavior;
  - (5) Role of alcohol abuse in delinquent and criminal behavior;
  - (6) Role of substance abuse in delinquent and criminal behavior;
  - (7) Role of lack of employment in delinquent and criminal behavior;
  - (8) Utilizing community resources;
  - (9) Listening and communication skills;
  - (10) Effective writing skills;
  - (11) Interviewing techniques; and
  - (12) Interpersonal skills.
- c. Officer safety orientation. All new adult and juvenile probation and surveillance officers shall successfully complete the eight-hour officer safety orientation within 30 days of hire in accordance with ACJA § 6-107 (g)(10).
- d. Defensive tactics academy. In the first twelve months of employment, all new adult and juvenile probation and surveillance officers shall successfully complete the defensive tactics academy in accordance with ACJA § 6-107 (g)(10).
7. Standards for probation and surveillance officers.
- a. All adult and juvenile probation and surveillance officers shall successfully complete, at minimum:
- (1) Orientation and initial training within 90 days of hire;
  - (2) Sixteen hours of approved training annually, including training in ethics and core curricula;
  - (3) Eight hours annually of defensive tactics refresher training, in accordance with ACJA § 6-107 (g)(10);
  - (4) Firearms training, as provided by ACJA § 6-113, for officers authorized to carry a firearm; and
  - (5) Successful completion of the Institute for Intensive Probation training within twelve months of assignment for all officers assigned to the intensive probation supervision (IPS) program.
- b. Training may be obtained in-house or outside of the agency. Approved, job-related college credit shall be applied to no more than eight of the sixteen-hour requirement upon successful completion of a course. Subject areas are at the discretion of the individual agency. Topics may include, but are not limited to:
- (1) Case classification, risk and needs assessment;
  - (2) Officer safety and discretion in the field;
  - (3) Cultural awareness;
  - (4) Caseload management and case planning;
  - (5) Creative problem-solving and decision-making;
  - (6) Role awareness, judgment and situational leadership;

- (7) Specialized caseloads (alcohol, drugs, mental illness, white collar crime, gangs, sexual abusers);
  - (8) Introduction to intensive probation; and
  - (9) Personnel practices and procedures.
8. Standards for probation management staff. All adult and juvenile probation management staff shall successfully complete, at minimum:
- a. Orientation and initial training within 90 days of hire;
  - b. Sixteen hours of approved training annually, including:
    - (1) Ethics;
    - (2) Core curricula; and
    - (3) Eight hours of defensive tactics refresher training annually, in accordance with ACJA § 6-107 (g)(10).
  - c. Firearms training as required by ACJA § 6-113 for officers authorized to carry a firearm.
9. Standards for probation training staff. Adult and juvenile probation agencies in counties with a population of over 500,000 shall have a full-time training department supervised by a qualified employee at the supervisor or higher management level. The training staff shall dedicate all of their time to training and training-related activities. Every training officer shall complete:
- a. Orientation and initial training within 90 days of hire; and
  - b. Sixteen hours of approved training annually, including:
    - (1) Ethics;
    - (2) Core curricula; and
    - (3) Train-the-trainer activities each year.
10. Standards for chief probation officers. Every chief probation officer or director of court services shall complete:
- a. Orientation and initial training within 90 days of hire;
  - b. Probation certification academy within first year of hire;
  - c. Sixteen hours of approved training annually, including:
    - (1) Ethics; and
    - (2) Core curricula

- d. Firearms training as required by ACJA § 6-113 for officers authorized to carry a firearm; and
- e. At least one out-of-state or in-state program, within each three-year time period, conducted by an established, nationally recognized training organization such as:
  - (1) National Institute of Corrections;
  - (2) Institute for Court Management;
  - (3) National Council of Juvenile Court Judges;
  - (4) American Corrections Association;
  - (5) National Judicial College;
  - (6) National College of Juvenile Justice;
  - (7) National Center for State Courts;
  - (8) Institute of Judicial Administration;
  - (9) Western Corrections Association;
  - (10) American Probation and Parole Association;
  - (11) National Association for Court Managers.

## **M. Funding and Financial Assistance.**

### 1. Funding sources.

- a. State funds. The state of Arizona, through the supreme court, shall make funding available, whenever possible, for attendance of judges and court personnel at local, state and national judicial education programs.
- b. Local funds. Judges and administrators responsible for preparing court budgets shall request funds from their funding authority needed to support the educational requirements and efforts of judges and court personnel of their court. Increased state appropriations will be requested by the supreme court, when necessary, to fund compliance with educational standards and to enhance the quality of educational programs.

### 2. Financial assistance.

- a. Programs within the state. Available supreme court education funds set aside for direct financial assistance shall be used first to support mandatory in-state orientation programs for new judges and other education priorities established by the chief justice.
- b. Programs outside the state. Supreme court education funds available for direct financial assistance may be available for attendance at national judicial college or national center for state courts programs.

- (1) Available funds shall be used in order of the following priorities:
  - (a) Newly elected or appointed judges seeking to attend a suitable comprehensive resident national judicial education program or school.
  - (b) Judges and court personnel who have complied with the education standards but have been unable to attend a suitable comprehensive resident national judicial education program or school within the first two years of their taking office.
  - (c) Judges and court personnel who have complied with the education standards and who last attended a resident national judicial education program or school three or more years prior to seeking financial assistance from the supreme court.
  - (d) Judges and court personnel seeking to attend non-resident seminars and educational conferences applicable to their judicial responsibilities and jurisdictional level who comply with these standards.
  - (e) Where an urgent or critical need exists, a judge may be considered for direct financial assistance more than once during the same year, assuming funds are available and taking into account the needs of other judges in the categories listed above.
- (2) When funding is available, judges and court personnel seeking to apply for financial assistance shall contact the education services division for a scholarship application.

c. Tuition and conference fees. State funds may be available on a limited basis to pay tuition or registration fees for approved programs. These funds, when available, may be requested through the AOC. State funds shall not be used to pay conference fees or program charges such as fees for sporting events, excursions, plays, or social activities. When meals are included in conference fees, individual participants can request reimbursement of meal-related expenditures at the approved state rate.

**N. Social Programs.** When appropriate, social programs may be initiated and developed by professional associations. Social events held in conjunction with education programs shall not interfere with education sessions. All programs held in conjunction with COJET or education services sponsored events shall be coordinated with the education services staff.

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**Court Improvement Program**  
**FUNDING AGREEMENT**

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\_\_\_\_\_ County

Fiscal Year 2016

This Agreement is entered into by and between the Arizona Supreme Court, Administrative Office of the Courts, ("AOC"), and the \_\_\_\_\_ County Superior Court ("Grantee").

**1. TERM AND PROGRAM REQUIREMENTS**

This Agreement becomes effective upon execution by the parties, and shall remain in effect through June 30, 2016.

**a. Dependency Process Requirements**

The purpose of this agreement is to provide funding to the Grantee to implement the Court Improvement (CI) requirements listed below.

- 1) Preliminary Protective Hearings in every case where the child is removed from the home and a dependency petition is filed shall be held within five (5) to seven (7) business days of removal.
- 2) Pre-Hearing Conference shall be conducted immediately preceding the in-court Preliminary Protective Hearing.
- 3) A Settlement Conference or Mediation shall be held prior to an Adjudication Hearing in a dependency matter, if a parent does not admit or submit to the dependency petition.
- 4) An Adjudication Hearing shall be held within ninety (90) days of service of a dependency petition.
- 5) A Disposition Hearing shall be held at the same time or no later than thirty (30) days after the Adjudication Hearing.
- 6) A Review Hearing shall be held within six (6) months of the initial Disposition Hearing.
- 7) A Permanency Hearing shall be held:
  - a) within thirty (30) days of disposition, if Court orders that reunification services are not to be offered;
  - b) within six (6) months of removal for child less than three (3) years of age;
  - c) within one year of removal, if reunification services are not discontinued by court order.
- 8) The Court shall make specific and factual findings as to the extraordinary circumstances which brought about the continuance of any dependency hearing.
- 9) If the Court determines that termination of parental rights or guardianship is in the best interest of the child, the Court shall order the department or the child's attorney or guardian ad litem to file within ten (10) days of the Permanency Hearing a motion alleging grounds for termination or guardianship. The Initial Termination or Initial Guardianship Hearing shall be held within thirty (30) days of the Permanency hearing.

## **b. Primary Budget Considerations**

In order to accomplish the time lines and procedures outlined in the Dependency Process Requirements, there are certain personnel and operational considerations that are fundamental and must be a priority for your budget expenditures. Grantee must ensure that there is/are:

- 1) Sufficient judicial hearing officers to hear all dependency proceedings.
- 2) An individual(s) responsible for facilitating Pre-Hearing Conferences.
- 3) An individual(s) responsible for handling mediations.
- 4) A Court Improvement (multi-disciplinary) team which meets regularly to ensure efficiency in the dependency process.
- 5) Juvenile court dependency data tracking system that is accessible to court personnel involved in dependency cases.
- 6) An individual(s) identified in your county to collect and input dependency case data into the juvenile court dependency data tracking system. Key individuals involved in the data collection process should participate in regularly scheduled Users Group meetings sponsored by the AOC.
- 7) Collaboration with the County Clerk's Office to ensure that the County Clerk's Office is adequately staffed and equipped to manage its responsibilities in the dependency process.

## **c. Dependency Data Tracking System Requirements**

- 1) The Grantee shall provide all equipment, hardware and software necessary to enable access for all court personnel responsible for entering dependency data into the juvenile court dependency data tracking system. The Grantee shall establish a security matrix for use of the juvenile court dependency data tracking system.
- 2) The Grantee agrees to: (a) utilize the juvenile court dependency data tracking system including, but not limited to, the input of data in a timely and accurate manner and the providing of reports as requested by the AOC; and (b) participate in any applicable outcome studies.
- 3) Dependency data entry for each month must be entered into the juvenile court dependency data tracking system by the fifth (5<sup>th</sup>) day of the following month.
- 4) Dependency Exception Reports will be run by the eighth (8<sup>th</sup>) day of the following month. The exceptions shall be corrected by the end of the same month. If exceptions cannot be corrected, the Grantee will contact the AOC for resolution.

## **2. MODIFICATION AND TERMINATION**

This Agreement may be modified or terminated by the AOC if in its judgment such action is necessary due to: (a) lack of funding; (b) statutory or administrative changes in the program; (c) Grantee's failure to implement or operate this Funding Agreement; (d) Grantee's non-compliance with this Agreement or other program requirements, (e) Grantee's failure to expend funds in accordance with Addendum A or (f) other circumstances necessitating such action. Either party may terminate this Agreement upon a thirty (30) day written notice to the other party by certified mail.

## **3. FUND ACCOUNTING**

Funds distributed to Grantee shall be deposited in a special revenue account established

for the execution of this Agreement. Any interest earned on these monies while in the possession of Grantee shall accrue to the fund for use by Grantee in accordance with this Funding Agreement. Funds disbursed to Grantee for reimbursement of approved expenses do not have to be deposited into a special revenue account.

#### **4. EXPENDITURES**

**a. Distribution of Funds.** The AOC may retain all or any portion of the funds allocated to Grantee for the performance of this Funding Agreement and may authorize direct expenditures for the benefit of Grantee. The specific amounts to be retained by the AOC for direct expenditures for the benefit of Grantee and to be disbursed to the Grantee are set forth in the Addendum A to this Agreement. The AOC may periodically modify the distribution of funds contained in the Addendum A based on its determination of Grantee's need for and usage of the funds.

**b. Reporting Requirements.** Grantee shall submit a Semi Annual Progress Report and Financial Statement to the AOC on or before January 31, 2016. Grantee shall also submit a Closing Report and Financial Statement to the AOC on or before August 31, 2016. An inventory of all equipment purchased with CI funds, including serial numbers, location and intended use, shall accompany the Closing Report and Financial Statement. Report forms will be provided by the AOC.

**c. Unexpended Funds.** Funds unencumbered as of June 30, 2016 and unexpended as of July 31, 2016, plus all unexpended interest accrued on such funds while in the possession of Grantee, shall be submitted with the Closing Report and Financial Statement to the AOC for reversion no later than August 31, 2016.

**d. Inappropriate Expenditures.** Grantee shall expend funds only for the purposes and uses specified in the Funding Agreement and Addendum A. Grantee agrees to reimburse the AOC for any unauthorized or inappropriate expenditures which are not in compliance with the Addendum A and this Agreement. Funds shall not be used to pay county or city administrative costs for services associated with receipt of those funds including, but not limited to, the cost of: accounting, payroll, data processing, purchasing, personnel, and building use. All equipment purchased solely with AOC funds shall be used solely for purposes outlined in the Funding Agreement unless written permission is received from the AOC.

**e. Budget Modifications.** The Court shall not shift funds from, to, or within budgeted categories described in Addendum A without prior written authorization from the AOC. All budget modifications shall be in accordance with the AOC Budget Modification Policy. Budget modification forms may be acquired from the AOC.

**f. Termination of Funding.** In the event that this Agreement is terminated prior to June 30, 2016, all unexpended funds in the possession of Grantee shall be returned to the AOC within 30 days of such termination, along with, but not limited to: (1) a closing financial statement; (2) a final report outlining the program achievements; and (3) an inventory, including serial numbers, location and intended use, of all equipment purchased with grant funds. If termination is due to failure of Grantee to comply with this Funding Agreement, the AOC may require return of equipment and supplies purchased with grant funds.

#### **5. BOOKS AND RECORDS**

**a. Financial Records and Examination.** Grantee shall maintain and shall require its subcontractors to maintain acceptable accounting systems, records, and documents to properly reflect all funds expended in the performance of this Funding Agreement. All books, records and

other documents relevant to this Agreement shall be retained by Grantee and its subcontractors for a period of five (5) years after the final payment has been made, or until after the resolution of any audit questions or contract disputes, whichever is longer. AOC, state, or federal auditors, as applicable, and any other persons duly authorized by the AOC shall have full access to, and the right to examine, audit, copy and make use of any and all said materials. All subcontracts shall include a provision acknowledging the authority of the AOC to conduct such audits or examinations.

**b. Program Records and Evaluation.** The AOC monitors and evaluates the implementation of Arizona Revised Statutes, Title 8, Chapter 10, Articles 2, 3 and 4, known as Court Improvement to determine its effectiveness. As a condition of receipt of grant funds, Grantee and any subcontractor agree to maintain and provide to the AOC such data and statistics as may be required for purposes of evaluation. Grantee further agrees that authorized agents of the AOC shall have the right to conduct on-site visits for purposes of compliance monitoring and program evaluation. All subcontracts shall include a provision acknowledging the authority of the AOC to conduct such inspections and evaluations.

## **6. INVENTORY**

Equipment purchased with funds received pursuant to this Agreement shall become the property of Grantee, and Grantee shall maintain written inventory and property control policies and procedures covering the equipment. Grantee may use its existing inventory system, but must at a minimum maintain the information required by AOC policies and procedures.

## **7. USE, LOSS AND DISPOSITION OF EQUIPMENT**

Equipment must be used as required by this Funding Agreement for three (3) years, unless written permission is given by the AOC. After this time, purchased equipment may be transferred upon approval of the presiding juvenile judge. Grantee is responsible for any maintenance, loss or damage to the equipment and the AOC makes no assurances regarding its repair or replacement. Purchased equipment which is no longer needed or usable shall be placed in surplus as required by this Agreement. If no such requirements are included in the Agreement, then local surplus property procedures may be utilized. Leased equipment will follow the guidelines of the lease.

## **8. SANCTIONS**

In addition to any other remedy available pursuant to this Agreement, Grantee may be placed on financial sanction status for deficiencies including but not limited to, delinquent submissions, delinquent reports, inaccurate reporting of statistics, inaccurate reporting of dependency statistics, untimely and consistently inaccurate input of data into the dependency data tracking system, untimely and consistently inaccurate correction of identified issues on the quality assurance reports, inadequate records, expenditures outside of the approved budget and non-compliance with this Funding Agreement for this or any other grant. During the period of sanction status, the AOC may take any appropriate action including:

- a. Written warning with request for immediate compliance.
- b. Withholding all or any portion of future program fund or equipment disbursements.
- c. Withholding all disbursements from all program funds.
- d. Requiring monthly submission of expenses prior to disbursement.
- e. Requiring monthly submission of expenses for reimbursement of actual costs incurred.
- f. Recovery of funds or equipment already disbursed.

To receive reimbursement while in sanction status, Grantee shall submit a monthly request to the



## CASA COMPLIANCE TOOL

<b>County:</b>	<b>Date IIR Sent:</b>	<b>Reviewer:</b>
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Section	Requirement	Source	Compliance	
<b>General Administration</b>	1. The state and county program staff shall not solicit donations.	IIR		
	2. All state and county program staff and advocates shall comply with applicable statutes described in A.R.S. ' 8-807, ' 41-1959, Arizona Rules of Court, including, but not limited to Rule 123, Rules of the Supreme Court, and administrative rules regarding confidentiality.	IIR		
	3. One county coordinator per county shall attend administrative meetings.	State Office		
	<b>Overall Compliance – General Administration</b>		<b>%</b>	
<b>Human Resources Management</b>	1. Policies and procedures shall be established to address personnel issues. In the absence of county standards, the state standards shall apply	IIR		
	2. The Arizona CASA Program complies with applicable laws and regulations governing fair employment practices.	IIR		
	3. Personnel records of county program staff shall be maintained by the county jurisdiction according to local court or county personnel policies.	IIR		
	4. The CASA Program shall make an effort to ensure that its facility is free of barriers that restrict the employment of or use by physically challenged employees.	IIR		
	5. At least annually, using a standardized evaluation form, the performance of the county program staff shall be evaluated by the designated supervisor. The evaluation shall review performance against established criteria with the county program staff being an active participant. Evaluations shall be consistent with local court and county personnel policies. Evaluations shall include, but are not limited to:	IIR		
	a. An assessment of job performance in relation to the quality and quantity of work defined in the job description and to the performance objectives established in the most recent evaluation.	IIR		
	b. Clearly stated objectives for future performance.	IIR		
	c. Recommendations for further training and skill-building, if applicable.	IIR		
	d. An opportunity for county program staff self-evaluation.	IIR		
	6. The county program staff is given the opportunity to sign the evaluation report, obtain a copy, and include written comments before the report is entered into the personnel record.	IIR		
	7. All employment concerns shall be referred to the county program staff's immediate supervisor or the appointing authority.	IIR		
	8. Personnel issues involving county program staff shall follow applicable disciplinary procedures, with the ultimate decision made by the presiding juvenile court judge, or designee, and notification made to the state program office.	IIR		
	<b>Overall Compliance – Human Resources Management</b>			

Section	Requirement	Source	Compliance
<b>Program Plan and Financial Management</b>	1. The county program shall:		
	a. Provide to the manager an annual budget request and program plan;	State Office	
	b. Submit bi-annual progress reports to the state program office by the last day of January 31 <sup>st</sup> /August 31 <sup>st</sup> ;	State Office Submit: 75%	
		On time: 25%	
	c. Submit quarterly financial statements to the state program office by 30 <sup>th</sup> or 31 <sup>st</sup> day of the new quarter (October 31, January 31, and April 30);	State Office Submit: 75%	
		On time: 25%	
	d. Submit a closing financial statement (year-end) to the state program office by August 31 <sup>st</sup> .	State Office Submit 75%	
		On Time: 25%	
	e. Revertment shall be received annually at the state program office by September 1; and	State Office Submit 75%	
		On Time: 25%	
	f. Provide additional financial reports as directed by the manager (for example, “mid-year vacancy savings report”).	State Office	
	2. The county program staff shall enter all DCATS statistical information on cases and advocates on at least a monthly basis.	IIR	
	3. The county program staff shall reimburse advocates for per diem and mileage costs for attending the mandatory initial CASA Advocacy Academy Training, to the extent funds are available and according to state travel policies. The county coordinator may authorize reimbursement for advocate training and extraordinary travel expenditures if funds are available, and according to state travel policies.	IIR	
	4. The county program shall provide to the Manager an annual Budget Request and Program Plan (Plan) pursuant to the schedule established by the state program office.	<b><i>Program Plan and Financial Management (1a)</i></b>	
	5. Funding:		
a. County program staff shall reimburse advocates for per diem and mileage costs for attending the mandatory initial CASA Advocacy Academy Training, to the extent funds are available and according to state travel policies. The county coordinator may authorize reimbursement for advocate training and extraordinary travel expenditures if funds are available, and according to state travel policies.	<b><i>Program Plan and Financial Management (3)</i></b>		
b. Funding will be provided on a ratio of 1 supervisor for every 10 county coordinators; 1 county coordinator for 40 advocates; 1 county support staff for no less than 2 FTE county coordinator positions. The ratio shall be prorated for all FTEs lower than one. Distances and multiple offices in a county may be considered for exceptions to this ratio. The total county coordinator FTE shall not exceed 1.0 until the 40 advocates to 1 county coordinator position ratio is met. The number of advocates who are active but who are not appointed to cases shall not exceed 10% of the total number of advocates.	State Office		
c. The supervisor position is responsible for direct reporting of 15 staff (10 county coordinators, 5 county support staff, and 400 advocates) and shall not be held to the county coordinator to advocate ratio.	State Office		

Section	Requirement	Source	Compliance	
	d. The supervisor position shall manage at least 15 advocates until the county program has 10 county coordinator and 5 county support staff.	State Office		
	e. The county program shall ensure funds disbursed from the State Program manager are held in a separate revenue account.	IIR		
<b>Overall Compliance – Program Plan and Financial Management</b>				
<b>County Program Operations</b>	1. The county program shall give priority to appointment of advocates in dependency matters over delinquency or incorrigibility matters.	IIR		
	2. The program shall screen every dependency case, and any delinquency case if referred, to determine if the case is appropriate for appointment to an advocate and to make effective matches of advocates to cases.	IIR		
	3. An outside individual or agency (for example: DES, attorneys, private parties, law enforcement, etc.) shall not review any advocate or case files unless a subpoena and an order of the presiding judge or designee has been issued.	IIR		
	4. Upon receipt of a subpoena, the county coordinator shall deliver a complete duplicate of the file to the presiding judge or designee for <i>in camera</i> inspection. The county coordinator shall not permit a file to be viewed without an order.	IIR		
	5. If a CASA advocate testifies at a hearing before a judge or at a jury trial and uses contact logs or any portion of the advocate's file that have not been the subject of a subpoena, any disclosure to the parties shall be ordered by the court.	IIR		
	6. If county staff or advocates suspect the safety and well-being of a child is at risk, they shall report that information immediately to CPS as mandated in A.R.S. § 13-3620.	IIR		
	7. The county coordinator shall ensure that upon voluntarily or involuntarily leaving the program, advocates return identification badges and all case-related materials.	IIR		
	8. The county coordinator shall not accept appointment as a CASA advocate.	IIR		
	9. The county program shall review, maintain, and take action regarding MVD records as required by the state program office.			
	10. The county program shall submit completed applicant fingerprint cards to the DPS for a criminal history records check, pursuant to A.R.S. § 41-1750, 28 CFR, Part 20, and any other applicable federal laws.	<b>File Management (6c)</b>		
	11. In the event that definitive fingerprints are not obtainable, the county coordinator shall require the applicant to make a written statement, under oath, that the applicant has not been arrested, charged, indicted, convicted of or pled guilty to any felony or misdemeanor, other than as disclosed on the application, through the interview process, or polygraph exam. The county coordinator has the option to recommend that certification of an advocate be granted or denied, even if this statement is provided.	<b>File Management (6c)</b>		
	12. If an advocate has a record of conviction of a violation of A.R.S. § 28-1381, § 28-1382, or § 28-1383 driving under the influence (DUI), the county program shall prohibit the advocate from driving any vehicle to transport children, staff, or any other individuals in the course and scope of CASA duties for a period of no less than five (5) years.	IIR		

Section	Requirement	Source	Compliance
	13. All county program staff and advocates shall adhere to the ACJA § 7-101, the CASA code of conduct attached hereto and incorporated herein as Appendix A, and the program policies.		
	a. All county program staff and advocates shall receive a copy of this code section and CASA program policies and procedures. Each county program staff and advocate shall sign and date an acknowledgment of receipt and agreement to comply with these documents. The signed acknowledgment shall be placed in the staff member or advocate's file.	<i>File Management (6c)</i>	
	b. All county program staff and advocates shall avoid any action which could adversely affect the confidence of the public in the integrity of the CASA program. They shall not conduct themselves in a manner that would reflect adversely on the judiciary, the courts, or other agencies involved in the administration of justice.	IIR	
	14. All county program staff shall immediately notify the county coordinator or supervisor and advocates shall immediately notify the county coordinator if:		
	a. They are the subject of an allegation or investigation in any criminal matter;	IIR	
	b. They have been arrested or charged in any criminal matter;		
	c. It is alleged in a civil, probate, domestic relations, or dependency matter or other court case that they have sexually assaulted, exploited, or physically abused any child or vulnerable adult;		
	d. They have been found in any professional licensing disciplinary board's final decision to have sexually or physically abused or exploited any minor, developmentally disabled person, or vulnerable adult;		
	e. They have engaged in an act listed in I(2)(a)(d);		
	f. They are currently awaiting trial for criminal offenses listed in I(1)(e)(f)(g)(h) and I(2)(b)(c)(e) in this state or in another state or jurisdiction; and		
	g. They have been convicted of a criminal offense listed in I(e)(f)(g)(h). They have engaged in any behavior listed in I(1)(h)(i)(j)(k)(l)(m).		
	15. Either the county coordinator or supervisor shall immediately notify the state program office if:		
	a. They are the subject of any action listed in 14 (a-g) above;	IIR	
	b. County program staff or advocates have reported to the county coordinator that they are the subject of an action listed in 14 (a-g) above.	IIR	
	16. County program staff using county computers shall adhere to the ACJA § 1-503; Electronic Communications. CASA advocates shall not transmit confidential information via home computers unless transmission is through the Administrative Office of the Courts (AOC) secure web server.	IIR	
	17. All screening criteria shall be completed before the applicant is certified as a advocate in the program, appointed a case, or involved in the program in any way except as allowed in the Arizona Code of Judicial administration, Part 7, Chapter 1, Section 7-101. If any criminal history discloses an offense with no disposition, it shall be the obligation of the county program staff to follow up with the applicant. It is the applicant's obligation to obtain documentation regarding the disposition which is acceptable to the program.		

Section	Requirement	Source	Compliance
	18. Within 30 days after completion of certification, the county coordinator shall assign a new advocate either specific duties within the program or to serve in a judicial appointment to a case.		
	19. The county coordinator, or the mentor under the supervision of the county coordinator, shall be responsible for conducting Pre- and Post-CASA Advocacy Academy Training to all new advocates as provided in the statewide training curriculum.	IIR	
	20. An advocate shall be appointed no more than 2 cases at one time in which to advocate. Additional case assignments shall be at the discretion of the county coordinator.	IIR	
	21. County program staff shall maintain and keep current all program performance manuals.	IIR	
	22. County program staff shall provide ongoing recognition of advocates. As funding allows, county program staff shall provide at least one annual advocate recognition event.	IIR	
	23. The county program staff shall enter all DCATS statistical information on cases and advocates on at least a monthly basis.	<i>Program Plan and Financial Management (2)</i>	
	24. County program staff and advocates may accept referral cases over non-referral cases.		
	25. The CASA Program reflects the community and client interests and advocates for culturally competent service delivery.		
	<b>Overall Compliance – County Program Operations</b>		
<b>Public Relations</b>	1. The state program office shall provide and inform county program staff prior to distribution of marketing materials (i.e., news clipping services, developing marketing materials, coordinating marketing plans statewide, etc.).		
	2. The county program shall:		
	a. Conduct an ongoing public information and educational program;	IIR	
	b. Disseminate public information for the purpose of broadcasting awareness of the needs and problems of the children that it serves; and	IIR	
	c. Make known its role, functions, and capabilities to other agencies, community organizations, government bodies, and corporations, as appropriate to its mission.	IIR	
	3. The CASA Program shall work closely with organizations such as local bar associations, other child advocacy programs, community service and civic groups, and businesses to accomplish its mission.	IIR	
	4. County program staff shall inform the state program office of any recruitment or marketing information not previously approved or prepared by the state program office or the National CASA Association they wish to prepare for distribution in their communities.		
	a. The county program office staff shall give the state program office a sample of such material before being distributed.	IIR	
	b. The state program office shall take no longer than 30 business days to review and approve or disapprove such material.		

Section	Requirement	Source	Compliance
	c. Once approved, either the state or county program office may produce the material for distribution. If disapproved, appropriate changes shall be made and resubmitted for review.		
<b>Overall Compliance – Public Relations</b>			
<b>County Staff Qualifications</b>	1. County Coordinator Supervisor Qualifications - The presiding judge or designee shall employ a county program supervisor who possesses, at a minimum, specific qualifications:		
	a. Bachelor’s degree from an accredited college or university, preferably with an emphasis in social work, counseling, or a related field. In an exceptional case, four years’ equivalent work experience in a related field with demonstrated ability may be considered.	IIR	
	b. Two years’ experience in the juvenile court and/or child welfare systems.	IIR	
	c. Two years’ experience as a county coordinator.	IIR	
	d. One year’s experience desired using computer software programs including word processing and spreadsheets.	IIR	
	e. Satisfactory completion of a security clearance, which includes fingerprinting, and the signing of any state required certification and pre-employment affidavit per county requirements.	IIR	
	2. County Coordinator Qualifications - The presiding judge or designee shall employ a county coordinator who possesses, at a minimum, specific qualifications including but not limited to:		
	a. A bachelor’s degree from an accredited college or university, preferably with an emphasis in social work, counseling, or a related field. In an exceptional case, four years’ equivalent work experience in a related field with demonstrated ability may be considered	IIR	
	b. One year’s experience in the juvenile court and/or child welfare systems.	IIR	
	c. One year’s experience desired using computer software programs including word processing and spreadsheets.	IIR	
	d. Satisfactory completion of a security clearance, which includes fingerprinting, and the signing of any state required certification and pre-employment affidavit per county requirements.	IIR	
	3. County Support Staff Qualifications - The presiding judge or designee shall employ a county support staff who possesses at a minimum, specific qualifications:		
	a. One year’s experience in a clerical support capacity.	IIR	
	b. One year’s experience desired using computer software programs including word processing and spreadsheets.	IIR	
	c. The ability to type at least 55 words per minute with minimal errors.	IIR	
d. Satisfactory completion of a security clearance, which includes fingerprinting, and the signing of any state required certification and pre-employment affidavit per county requirements.	IIR		
<b>Overall Compliance – County Staff Qualifications</b>			
<b>File Management</b>	1. The county program office shall maintain copies of all advocate reports, correspondence, and notes from telephone or in-person consultations concerning the case.	IIR	

Section	Requirement	Source	Compliance	
	2. The county coordinator, or advocate mentor under the county coordinator's supervision, shall initially screen and periodically review any referred dependency, guardianship, and termination, delinquency, or incorrigibility cases to determine if they are appropriate for advocate appointments.	<i>County Program Operations (2)</i>		
	3. Information about cases shall be shared only with parties designated by the court.	IIR		
	4. County program staff shall develop and maintain duplicate case files; one shall be given to the appointed advocate and another shall be located in the county program office so staff has access to files whenever needed.	IIR		
	5. Case Files - The following documents shall be maintained and kept current in case files or in the county program office:			
	a. Court Order of Appointment, the Rescinding Order of Appointment, and/or the minute entry dismissing all parties involved in the case.	Onsite		
	b. A copy of the Legal Party Memorandum advising parties of advocate appointment.	Onsite		
	c. Pertinent court documents, such as the CPS Initial Report and any prior reports, psychological reports, FCRB reports, court orders/minute entries, correspondence, etc.	Onsite		
	d. The advocate's Contact Logs/Journals.	Onsite		
	e. Advocate reports to the court.	<i>Advocate Minimum Performance Standards</i>		
	f. Documentation of the returned program files and/or noted items not returned. (Program Material Checklist average for Case and Advocate files)	Onsite		
	g. After a case has been dismissed, the advocate's appointment is rescinded, or the advocate is dismissed from a case, all CASA-related documentation from the case file shall be retained for a period of five years from the date of dismissal and shall be maintained in a confidential and secure area. All other information in the case file shall be shredded by the county program office staff.	Onsite		
	h. Required case file information on cases established before May 1994 shall be waived from program compliance.			
	6. Advocate files - The following documents shall be maintained and kept current in the county program office:			
	a. A completed, signed, and dated advocate application.	Onsite		
	b. Identifying information and emergency contacts.	Onsite		
	c. A signed and dated acknowledgment of advocate compliance with all appropriate Arizona statutes, Rules of Procedure for the Juvenile Court, Administrative Order, Rules, ACJA, and policies and procedures.	Onsite		
	d. A signed and dated Pre-screening Criteria form.	<i>On Application as of May 2005</i>		
	e. Documentation of a personal interview with the county coordinator.	Onsite		
	f. Three personal non-relative character references.	Onsite		
	g. Results of the state and national background checks.	Onsite	FBI	State

Section	Requirement	Source	Compliance	
	h. Written statement under oath if definitive fingerprints are unobtainable.	Onsite		
	i. Advocate performance assessment.	Onsite		
	j. In-service training documentation.	<b>Training (3)</b>		
	k. Polygraph examination.	Onsite		
	l. When an advocate leaves the program, the file shall be retained for a period of five years from the advocate's exit date and shall be maintained in a confidential and secure area.	Onsite		
	m. Required advocate information on files established before May 1994 shall be waived from program compliance.			
	<b>Overall Compliance – File Management</b>			
<b>Initial Certification and Application Process</b>	1. Qualifications of the Advocate. An advocate shall meet the following qualifications:			
	a. U.S. citizen or legal resident;	Onsite		
	b. Not employed by DES, the juvenile court, or child welfare agencies, unless specifically authorized by the juvenile court judge; and	Onsite		
	c. At least twenty-one years of age.	Onsite		
	2. Advocate Application Process. An advocate shall complete the following application process within ninety (90) days of the application date unless a good cause extension is obtained from the county coordinator:		<b>File Management (6)</b>	
	a. Complete an application.			
	b. Provide the program with a readable fingerprint card or a notarized criminal disclosure statement as provided in subsection (G)(11) if definitive fingerprints are not obtainable. If the criminal history results do not show a disposition, it is the applicant's obligation to obtain documentation regarding the disposition which is acceptable to the program;			
	c. Complete a personal interview with the county coordinator;			
	d. Provide three non-relative personal references;			
	e. Complete a polygraph examination;			
	f. Sign and date a statement indicating the advocate has read, understands, and shall comply with all statutes, Arizona Rules of Court, this code, administrative orders, and policies and procedures of the CASA program;			
	g. Sign and date a pre-screening criteria form;			
	h. Attend 30 hours of initial CASA Advocacy Academy Training (OT); and	DCATS		
	i. Authorize the CASA program to secure a criminal history record check, MVD record check, and DES central registry information check as permitted by state and federal laws.	<b>Ongoing Requirements for Continuing Certification (1c)</b>		
3. The CASA program shall reject the applicant if the applicant refuses to authorize a release of information to complete background checks.	IIR			
4. Notification of Certification. The county coordinator shall promptly notify the applicant accepted for certification in accordance with this code section.	IIR			

Section	Requirement	Source	Compliance
	5. Advocates who have been certified to enter the program and who transport children shall at all times maintain current automobile coverage. Advocates shall provide proof of automobile insurance and any additional requirements set by the AOC to the county program office on an annual basis.	Onsite	
	6. Access to records of applicants and advocates. Unless otherwise provided by law, the following shall apply to applicant and advocate records:		
	a. Program records regarding applicants and advocates shall not be open to applicants, advocates, or the public. This includes, but is not limited to, the application, polygraph examination, interview notes, criminal history record information, DES central registry information check, personal references, and MVD record check.	IIR	
	b. Upon request, the county program shall provide an applicant or advocate with a copy of the applicant's or advocate's individual application. Notes or work product of county staff shall be redacted.	IIR	
	c. The county coordinator shall notify applicants or advocates of the general facts regarding a finding without providing specific information on the following:		
	i. Criminal record;	IIR	
	ii. Negative MVD record; or	IIR	
	iii. Record in the DES central registry.	IIR	
	<b>Overall Compliance– Initial Certification and Application Process</b>		
<b>Denial of Certification</b>	1. The county coordinator shall deny certification if any of the following conditions exist:		
	a. The applicant has not completed any aspect of the application process;	IIR	
	b. The applicant has not been fingerprinted, the county coordinator has not received the criminal background check, MVD records check, or the DES central registry information check;	IIR	
	c. The applicant has not completed the training requirements;	IIR	
	d. The applicant materially misrepresented facts or committed fraud in the application process;	IIR	
	e. Does the county coordinator deny certification if the applicant has been convicted of any of the criminal offenses as an adult outlined in ACJA 7-101(I-1)(e-m)	IIR	
	2. Notification of Denial.		
	a. The county coordinator shall promptly notify the applicant denied certification in accordance with this code section. If the applicant is denied, only general reasons shall be given for the denial. If denial is due to a positive criminal history, that general fact may be disclosed.	IIR	
	b. The applicant shall be advised that if the advocate application is denied, the applicant may have the decision reviewed by the presiding juvenile court judge upon request.	IIR	
	<b>Overall Compliance – Denial of Certification</b>		

Section	Requirement	Source	Compliance
<b>Advocate Status</b>	1. A advocate serves at the pleasure of the court. The court may terminate the services of a advocate without cause. The county coordinator shall take action toward any advocate not adhering to the minimum performance standards of the CASA program, which may include limitations on types of cases, suspension, or termination.	IIR	
	2. A advocate shall have access to documents and information pursuant to A.R.S. ' 8-522(F): <i>A special advocate shall have access to all documents and information regarding the child and the child's family without obtaining prior approval of the child, the child's family or the court. All records and information the special advocate acquires, reviews or products may only be disclosed as provided for in ' 41-1959.</i>		
	3. A.R.S. ' 8-522(G) provides for notice to the CASA advocate as follows: <i>The special advocate shall receive notice of all hearings, staffings, investigations and other matters concerning the child. The special advocate shall have a right to participate in the formulation of any agreement, stipulation or case plan entered into regarding the child.</i>		
	4. A advocate shall be on active status if the advocate engages in any of the following activities:		
	a. Appointed to a dependency or juvenile probation case;		
	b. Involved in the administrative aspect of the county program office;		
	c. Serving as a mentor to other advocates; or		
	d. Otherwise regularly involved with the county program.		
	5. Advocates who are active but not assigned cases, shall provide a minimum of three hours per month in organized program activities and shall document those activities monthly.		
	6. A advocate may be placed on inactive status if all of the following conditions are met:		
	a. Approved by the county coordinator, for no longer than six months;		
	b. Not currently appointed to a dependency or juvenile probation case;		
	c. Not involved in the administrative aspect of the county program office;		
	d. Not a mentor to other advocates; and		
	e. Not otherwise regularly involved with the county program.		
	7. While on inactive status, the advocate shall:		
	a. Provide performance-based assessment reviews.		
	b. Comply with the required in-service training each calendar year.	<i>Training (3)</i>	
	<b>Overall Compliance – Advocate Status</b>		
<b>Advocate Recruitment and Retention</b>	1. The county program shall have written plans for recruiting and selecting advocates. A standardized packet of information shall be given to each applicant which contains, but is not limited to:	IIR	
	a. The purpose and role of the CASA advocate;	IIR	
	b. Details about the qualifications for becoming a advocate; and	IIR	

Section	Requirement	Source	Compliance
	c. Minimum time commitment requirement.	IIR	
	2. The county program’s recruitment plan shall include targeted strategies to attract advocates from diverse cultural, ethnic, and socio-economic backgrounds. The program shall also seek age diversity.	IIR	
	3. The county program’s strategies for recruitment of advocates shall include but not be limited to community outreach.	IIR	
	<b>Overall Compliance – Advocate Recruitment and Retention</b>		
<b>Advocate Minimum Performance Standards</b>	1. The advocate shall perform functions set out in A.R.S. ' 8-522(E) and in state and local policies. A.R.S. ' 8-522(E) provides that a special advocate:		
	a. Meet with the child.	IIR	
	b. Advocate for the child's safety as the first priority	IIR	
	c. Gather and provide independent, factual information to aid the court in making its decision regarding what is in the child's best interest and in determining if reasonable efforts have been made to prevent removal of the child from the child's home or to reunite the child with the child's family.	IIR	
	d. Provide advocacy to ensure that appropriate case planning and services are provided for the child.	IIR	
	e. Perform other duties prescribed by the supreme court by rule.		
	2. A advocate shall accept appointments in dependency, guardianship, termination, delinquency, and incorrigibility actions pursuant to Rule 3, Rules of Procedure for the Juvenile Court and A.R.S. ' 8-522(A).	IIR	
	3. A advocate shall accept appointments as guardian ad litem pursuant to A.R.S. 8-221(I) and Rule 40, Rules of Procedure for the Juvenile Court and A.R.S. 8-522(A).		
	4. A advocate shall comply with Arizona statutes, Arizona Rules of Court, Rules of Procedure for the Juvenile Court, administrative orders, rules, this code, and program policies and procedures.	IIR	
	5. A.R.S. ' 8-522(H) provides: "A special advocate is immune from civil or criminal liability for the advocate’s acts or omissions in connection with the authorized responsibilities the special advocate performs in good faith.		
	6. A advocate shall comply with state program policies regarding training requirements.	<b>Training (3)</b>	
	7. A advocate shall comply with state program policies regarding performance-based assessment reviews.		
	8. Advocates shall maintain the following minimum performance standards:		
	a. Perform only authorized responsibilities pursuant to A.R.S. § 8-522(E). Those responsibilities include:	<b>Advocate Minimum Performance Standards (1)</b>	
i. Meet with the child;			
ii. Advocate for the child’s safety as the first priority.			

Section	Requirement	Source	Compliance
	iii. Gather and provide independent, factual information to aid the court in making its decision regarding what is in the child’s best interest and in determining if reasonable efforts have been made to prevent removal of the child from the child’s home or to reunite the child with the child’s family;		
	iv. Provide advocacy to ensure that appropriate case planning and services are provided for the child;		
	b. Maintain confidentiality in handling program issues, case, and advocate information.	IIR	
	c. Review case records and interview the child and other appropriate parties involved in the case.	IIR	
	d. Develop and maintain a relationship with the appointed child including contact with the child on at least a monthly basis.	IIR	
	e. Maintain an accurate and complete Contact Log/Journal on the case and provide the documentation on at least a monthly basis to the county program office. Maintain records about the case, including appointments, interviews, and information gathered about the child and the child’s life circumstances	<i>File Management (5d)</i>	
	f. Communicate with caregivers about the child’s behavior and relationships.	IIR	
	g. Participate as a member of the case management team.	IIR	
	h. Participate in the formulation of any agreement, stipulation, or case plan entered into regarding the child and provide input to subsequent revisions.	IIR	
	i. Advocate for the best interest of the child, identify service needs, and make recommendations to the court regarding timely placement of the child.	IIR	
	j. Monitor the child’s placement to observe the child’s behavior in the home and to assess problems or the child’s needs.	IIR	
	k. Assist the responsible parties to ensure that the child’s educational needs are being met.	IIR	
	l. Report to the appropriate authority’s significant changes in family situations or violations of court orders.	IIR	
	m. Consult at least monthly with the county coordinator in case/program discussion, and document the discussion in the Contact Log/Journal.	IIR	
	n. Discuss all recommendations concerning the case with the county coordinator prior to submitting recommendations to the court.	IIR	
	o. Submit a written, objective, and concise court report with recommendations to the court on what placement and services are best for the child. The advocate shall also gather and provide information to aid the court in determining if reasonable efforts have been made to prevent removal of the child from the child’s home or to reunite the child with the child’s family. The advocate shall deliver the court report to the county program office two weeks prior to the court hearing. <b>*Only rate the timeliness of the court reports to the court.</b>	IIR	
	p. Submit court reports at review and permanency hearings unless required otherwise.	IIR	

Section	Requirement	Source	Compliance
	q. Submit addenda at all other hearings not listed in item #P as determined by the advocate in consultation with the county coordinator.		
	r. Attend all court hearings pertaining to the appointed case and provide oral testimony to the court when requested. Attend a jury trial if one is requested, and provide oral testimony to the court and jury if called as a witness. If unable to attend a court hearing, the advocate shall inform the county coordinator who will attend for the advocate. If the advocate and coordinator are not available, a advocate mentor may attend.	IIR	
	s. Assist the court in exploring alternative placements for the child.	IIR	
	t. Make recommendations at Foster Care Review Board (FCRB) meetings.	IIR	
	u. Remain appointed to the dependency case through all phases of the court process up to the time of permanent guardianship or adoption, unless otherwise directed by the court.	IIR	
	v. Provide and document an annual performance-based assessment of the Arizona CASA Program.	Onsite	
	w. Maintain contact with the county coordinator to alert or to discuss high profile cases or problems as they arise. Report developments as directed by the county coordinator.	IIR	
	x. Provide to the county program office all case-related correspondence as directed by the county coordinator.	IIR	
	y. Comply with Arizona statutes, Rules of Procedure for the Juvenile Court, Administrative Order, Rules, ACJA, and policies and procedures. A special advocate is immune from civil or criminal liability for the advocate's acts or omissions in connection with the authorized responsibilities the special advocate performs in good faith.		
	z. Comply with the state program training requirements.	<b>Training (3)</b>	
	aa. Advocates shall notify insurance carriers that their CASA advocate work may involve transporting children.	IIR	
	9. Advocates shall consult with their insurance providers to determine the minimum liability coverage under Arizona law and the recommended coverage for advocates and their family in light of the fact that they may be transporting children.		
	10. Advocates who transport children shall at all times maintain current automobile insurance coverage.	<b>Ongoing Requirements for Continuing Certification (1d)</b>	
	11. Advocates shall provide proof of insurance to the county program office on an annual basis.	<b>Ongoing Requirements for Continuing Certification (1d)</b>	
	12. A advocate may receive authority for additional responsibilities set forth below.		
	a. With prior approval by the county coordinator, the advocate may observe visits between the appointed child and the parent, and/or assist in arranging visits with siblings and other relatives.		

Section	Requirement	Source	Compliance
	b. Allowing the appointed child to visit the advocate's home or stay overnight with the advocate unless specifically ordered by the court with prior approval by the CPS supervisor, CPS case manager, and county coordinator.		
	c. A advocate may be appointed as a Courtesy CASA.		
	d. A advocate may be given additional or other assigned duties such as a mentor advocate, recruiting assistant, and office worker.		
	13. A advocate <i>shall not</i> allow the appointed child to visit the advocate's home or stay overnight with the advocate unless specifically ordered by the court with prior approval of the CPS supervisor, CPS case manager, and county coordinator.	IIR	
	14. Advocate Mentor Qualifications - The county coordinator may assign a advocate to the role of a advocate mentor who possesses, at a minimum, specific qualifications.		
	a. At least one year's experience as a CASA advocate and been appointed to at least one dependency case.	IIR	
	b. A working knowledge of CPS and juvenile court proceedings including, but not limited to dependency, delinquency, severance, and adoption.	IIR	
	c. Meeting and/or exceeding minimum performance standards.	IIR	
	d. Effective skills in organization, oral and written communication, leadership, and advocacy.	IIR	
	e. Received additional mentor training required by the state program office.	IIR	
	15. Advocate Mentor Minimum Performance Standards - The advocate mentor shall maintain the following minimum performance standards:		
	a. Comply with Arizona Statutes, Rules of Procedure for the Juvenile Court, Administrative Order, Rules, Arizona Code of Judicial Administration, and policies and procedures.	IIR	
	b. Assist the county coordinator by providing ongoing support to advocates.	IIR	
	c. Assist advocates in the development of advocacy skills; e.g., negotiation, interviewing parties to the case, conflict resolution, effective communication, and providing court testimony to a judge or jury.	IIR	
	d. Provide ongoing assistance to advocates regarding documentation (Contact Log/Journal), report writing, and case management.	IIR	
	e. Maintain contact with assigned advocates as directed by the county coordinator. (Logs)	Onsite	
	f. Maintain contact with the county coordinator to alert or to discuss high profile cases or problems as they arise. Report developments as directed by the county coordinator.	IIR	
	g. Educate assigned advocates on how to establish working relationships with parties to the case.	IIR	
	h. Provide additional information to assigned advocates regarding available community resources.	IIR	
	i. Attend staffings, FCRB meetings, and court hearings at the direction and supervision of the county coordinator.	IIR	

Section	Requirement	Source	Compliance
	j. Facilitate advocate support groups at the direction and supervision of the county coordinator.	IIR	
	k. Consult at least monthly with the county coordinator regarding case activity and assigned advocates.	IIR	
	l. Under the supervision of the county coordinator, may screen dependency cases for appropriateness of assignment, and organize and/or facilitate Pre- and Post-CASA Advocacy Academy Training.		
	<b>Overall Compliance–Advocate Minimum Performance Standards</b>		
<b>Recertification Process</b>	1. If a advocate leaves the CASA program for up to one year and is eligible for return, the advocate shall, at a minimum, attend the initial CASA Advocacy Academy Training.	IIR	
	2. If a advocate leaves the program for more than one year and is eligible for return, the advocate shall repeat the application process.	IIR	
	<b>Overall Compliance – Recertification Process</b>		
<b>Ongoing Requirements for Continuing Certification</b>	1. By December 31st every other calendar year starting with 2005 advocates shall:		
	a. Sign a statement under oath that the advocate has not been arrested, charged, indicted, convicted of, or pled guilty to, any felony or misdemeanor since the advocate's last certification;	Onsite	
	b. Sign a statement that the advocate has not engaged in any conduct that would be grounds to deny certification.	Onsite	
	c. Authorize the CASA program to secure a criminal history records check, MVD records check, and DES central registry information check as permitted by state and federal laws; and	Onsite	
	d. Provide proof of automobile insurance and any additional requirements set by the AOC if the advocate is driving any vehicle to transport children, staff, or any other individuals in the course and scope of CASA duties.	Onsite	
	2. The county coordinator may recommend the advocate's certification continue based on the advocate statement provided in compliance with M(1)(a-d).		
	3. Results of the FBI and State recertification background checks.	Onsite	State FBI
	<b>Overall Compliance – Ongoing Requirements for Cont. Cert.</b>		
<b>Training</b>	1. New county program staff shall:		
	a. Attend New Staff CASA Advocacy Academy Training provided by the state program office.	State Office/ DCATS	
	b. Attend the initial advocate CASA Advocacy Academy Training.	State Office/ DCATS	
	c. Observe a Pre-hearing Conference, Preliminary Protective Hearing, and a Review Hearing.	County	
	d. Observe a Foster Care Review Board (FCRB) meeting unless one is not scheduled during the training period.	County	

Section	Requirement	Source	Compliance	
	e. Attend a case management staffing with CPS (county coordinator position only).	County		
	f. Attend a Pre- and Post-OT unless one is not scheduled during the training period.	County		
	g. Receive the training required by the state program office for handling ethical issues and confidential material.	Academy/ ACJIS trng video		
	h. Complete Committee on Judicial Education and Training (COJET) requirements annually. Credit for training hours shall be consistent with COJET guidelines.	County		
	i. Complete the Arizona Criminal Justice Information Systems (ACJIS) training video.	County		
	2. Before appointment to a dependency case, a advocate shall complete 30 hours of training. Training shall include, but not be limited to:	<b><i>Initial Certification &amp; Application Process (2h)</i></b>		
	a. Reading designated <i>Resource Guide</i> materials to include program policies and procedures.			
	b. Attending the initial CASA Advocacy Academy Training.			
	c. Attending Pre- and Post-CASA Advocacy Academy Training.			
	d. Observing a dependency hearing unless one is not scheduled during the training period prior to case assignment.			
	e. Observing a Foster Care Review Board (FCRB) meeting unless one is not scheduled during the training period prior to case assignment.			
	f. Discussing the case with the county coordinator before appointment.			
	g. Reviewing case files to become familiar with file contents.			
	h. Attending support group meetings unless one is not scheduled during the training period prior to case appointment.			
	i. Attending additional applicable training as designated by the county coordinator.			
	3. Advocates shall participate in and document 12 hours of in-service training per calendar year. The first year, CASA Advocacy Academy Training shall fulfill the requirement for that calendar year.	DCATS	CY__	CY__
	4. All requests by advocates for training not provided or organized by county program staff must be pre-approved by the county coordinator before training hours are credited.	IIR		
	5. County program staff shall organize or provide sufficient in-service training to allow advocates to complete the required 12 hours of in-service training per calendar year.	IIR		
<b>Overall Compliance - Training</b>				
<b>Personal Liability</b>	1. ARS 8-522(H) & 8-523 (C) address liability for the Arizona CASA Program.			
	2. County coordinators shall ensure that applicants and advocates:			
	a. Are made aware of liability and risk management laws and regulations including those pertaining to automobile usage;	IIR		

Section	Requirement	Source	Compliance
	b. Are provided the Arizona Code Of Judicial Administration (ACJA) and program policies pertaining to liability and risk management; and	IIR	
	c. Provide proof of insurance to the county program office on an annual basis.	<i>Initial Certification &amp; Application Process (5)</i>	
<b>Overall Compliance – Personal Liability</b>			
<b>Complaint Process</b>	1. The structure of the CASA program allows complaints to come in at three different levels. Complaints may be made to the manager, presiding judge or designee, or the county coordinator.	IIR	
	2. All judicial officers and state and county program staff shall, and any person may, notify the county coordinator if it appears that an advocate has violated Arizona statutes, Rules of Court, including Rules of Procedure of the Juvenile Court, this code, administrative orders, rules, or program policies.	IIR	
	3. All complaints shall be in writing with sufficient specificity to warrant further investigation. The name and telephone number of the complainant shall also be provided.	IIR	
	4. Investigations may be conducted at any of the three levels designated in N(1) and may be for the following purposes:		
	a. To determine whether an advocate has violated this code section or other applicable statutes, rules, and policies;		
	b. To determine whether a complaint is valid; or		
	c. To secure information useful in the administration of the program or this code section.		
	5. While an investigation is pending, the county coordinator may seek a temporary order from the assigned judge, the presiding juvenile court judge, or designee, suspending the advocate from duties as a CASA advocate.		
	6. Any investigation under this provision shall be reported to all three levels designated in N(1).	IIR	
	7. Upon review of all evidence, the investigator shall make a report and recommendation to the presiding judge or designee for resolution of the complaint. The investigator, upon receiving judicial resolution of the complaint, shall inform the parties designated in N(1).	IIR	
8. The county coordinator shall document any complaints in the advocate's file and send a copy to the state program office. Information and documentation shall be confidential and available only for use in considering advocate's continuing certification for review by the manager.	IIR		
9. If the complaint involves alleged criminal activity as listed in, but not limited to, this code section, or immediate or potential danger to a child, the investigator shall promptly forward the written complaint and all other investigative progress reports to the parties designated in N(1).	IIR		
<b>Overall Compliance – Compliant Process</b>			
<b>Dismissal from Case or Termination of a Advocate</b>	1. Upon completion of the complaint process, the county coordinator shall refer any recommendation regarding discipline to the presiding judge or designee. The presiding judge or designee shall take action up to and including dismissal from the program.	IIR	

Section	Requirement	Source	Compliance
<b>from Program</b>	2. Grounds for dismissal or termination of a advocate from the program include but are not limited to:		
	a. Taking action that endangers the child or is outside the role of the statutory authority of the CASA program;		
	b. Failing to adhere to Arizona statutes, Rules of Court including the Procedures of the Juvenile Court, ACJA, administrative orders, rules, and program policies;		
	c. Failing to demonstrate an ability to effectively carry out assigned duties;		
	d. Falsifying the application or misrepresenting facts during the screening process;		
	e. A finding against the advocate of child abuse or neglect by a court or any authorized governmental agency;		
	f. Existing conflict of interest which cannot be resolved;		
	g. Allowing the appointed child to visit the advocate's home or stay overnight with the advocate unless specifically ordered by the court; and		
	h. Any action that would have required initial denial of certification as a CASA advocate.		
	3. A advocate shall be suspended immediately following an allegation of existing child abuse and neglect against the advocate.		
a. A advocate shall be suspended immediately pending a determination of alleged child abuse or neglect.	IIR		
b. A advocate shall be suspended immediately pending an investigation of an allegation of conduct that would be grounds for mandatory or discretionary denial of certification.	IIR		
4. A advocate shall be dismissed immediately if there has been a judicial or administrative determination of abuse or neglect.	IIR		
5. A advocate shall be dismissed immediately if the advocate uses illegal drugs or alcohol while performing CASA duties.	IIR		
<b>Overall Compliance – Dismissal from Case or Termination</b>			
<b>Advocate Code of Conduct</b>	1. The advocate shall perform only authorized responsibilities pursuant to A.R.S. § 8-522(e). Those responsibilities include:	<i>Advocate Minimum Performance Standards (1)</i>	
	a. Meet with the child;		
	b. Advocate for the child's safety as the first priority;		
	c. Gather and provide independent, factual information to aid the court in making its decision regarding what is in the child's best interest and in determining if reasonable efforts have been made to prevent removal of the child from the child's home or to reunite the child with the child's family;		
	d. Provide advocacy to ensure that appropriate case planning and services are provided for the child.		
	2. The advocate who performs activities other than those authorized in (1)(a-d) above, shall only do so pursuant to supreme court rule.	<i>Advocate Minimum Performance Standards (4)</i>	

Section	Requirement	Source	Compliance
	3. The advocate shall consult with the county coordinator to resolve any ethical issues that arise.	IIR	
	4. The advocate shall serve and respond to requests without bias of race, religion, sex, age, national origin, or physical impairment.	IIR	
	5. Before appointment to a case the advocate shall disclose to the county coordinator or court any pre-existing relationship with a child or the child's family that could be perceived as a conflict of interest.	IIR	
	6. The advocate shall, at all times, perform authorized functions in a professional and impartial manner.	IIR	
	7. The advocate shall not use or attempt to use the advocate's official position to secure unwarranted privileges or exemptions.	IIR	
	8. The advocate shall not request or accept any fee or compensation in the course of CASA advocate service.	IIR	
	9. The advocate shall use public resources, property, and funds under the advocate's control responsibly and for the purpose intended by law and not for any private use.	IIR	
	10. The advocate shall comply with applicable statutes described in A.R.S. § 8 707. § 41-1959, Arizona Rules of Court; including, but not limited to Rule 123, Rules of the Supreme Court, and Administrative Rules regarding confidentiality.	<i>General Administration (2)</i>	
	11. The advocate shall not allow the appointed child to visit the advocate's home or stay overnight with the advocate unless specifically ordered by the court with prior approval of the CPS supervisor, CPS case manager, & county coordinator.	<i>Advocate Minimum Performance Standards (13)</i>	
	12. The advocate shall not be related to any parties involved in the case or be employed in a position/or agency that might result in a conflict of interest.	IIR	
	13. The advocate shall not engage in the following activities:		
	a. Give legal or medical advice;	IIR	
	b. Provide therapeutic counseling;	IIR	
	c. Provide health care services;	IIR	
	d. Make placement arrangements for the child;	IIR	
	e. Give money or gifts of value over \$10 to the child or family;	IIR	
	f. Solitary excursions to isolated places involving only the CASA advocate and the appointed child; and	IIR	
	g. Perform home studies for out-of-state or in-state agencies.	IIR	
<b>Overall Compliance – Advocate Code of Conduct</b>			

**Advocate Mentor Program**

<b>Name of Mentor</b>	<b>One Year as CASA and At Least One Dependency Case</b>	<b>Completed Add'l Mentoring Training</b>	<b>Logs in File Identifying Mentoring Activity</b>	<b>Date/Type of Last Activity in Logs</b>

## CASA CASE FILE TOOL

County	Case Name	Open/Closed	JD#	Date	Reviewer

Volunteer	Date Appointed	Letter of Appointment in File	Date Dismissed	Order of Rescission or M.E. in file Dismissing Volunteer?	LPM Present in File
					<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
					<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
					<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A

### Contact Logs

Volunteer	# Present	# Required	Dates of Logs Present	Dates of Missing logs

<b>Documents pertinent to the case (CPS/DDD reports, FCRB Recs, evaluations) in file.</b>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
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<b>If the case is closed, does DCATS show that the duplicate information and volunteer file was returned?</b>	<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A
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## CASA VOLUNTEER FILE TOOL

Date	County	Volunteer	Active/ Inactive	Open/ Closed	Mentor (Y/N)	Reviewer	
1		Date of completed, signed application.					
2		Are all the sections of the application completed including the criminal background section?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
3		Did the applicant provide identifying information and emergency contacts?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
4		Did the applicant state that they are a U.S. citizen or legal resident?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
5		Did the applicant state that he/she was not employed by ADES, the juvenile court, or a child welfare agency, unless specifically authorized by the juvenile court judge?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
6		Did the applicant provide proof of insurance?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
7		Was the applicant at least twenty-one years of age?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
8		Did the applicant complete a personal interview with the county coordinator?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
9		Does the file document three non-relative personal references?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
10		Did the applicant sign and date the Acknowledgment Form?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
11		Did the applicant complete a polygraph exam?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
12		Did the volunteer complete an annual performance-based assessment of the Arizona CASA Program?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
13		Is there a completed volunteer performance assessment in the file? (no set time frame)				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
14		If the file is closed, is there a completed Program Material Checklist?				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
15		Date that the state background check results were received or the date of the notarized criminal disclosure statement if definitive fingerprints were unobtainable. <b>(original and recertification dates)</b>	Original or CDS				
			Re-cert or CDS				
16		Date that the federal background check results were received or the date of the notarized criminal disclosure statement if definitive fingerprints were unobtainable. <b>(original and recertification dates)</b>	Original or CDS				
			Re-cert or CDS				
17		<b>Re-Certification:</b> <i>By 12/05, every CASA Volunteer had to be recertified who has been in the program longer than two years. After 12/05, CASA volunteers should be recertified every two years.</i>					
		a. Authorization for the CASA program to secure a criminal history records check, MVD records check, and DES central registry information check as permitted by state and federal laws.				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
		b. Completed statements regarding vehicle use and provided copy of insurance card if may or are transporting children. <b>(Need to provide annually)</b>				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
		c. Signed notarized statement under oath that the volunteer has not been arrested, charged, indicted, convicted of, or pled guilty to, any felony or misdemeanor since the volunteer's last certification. Also completed section that they have not been found civilly liable in any action that involves fraud, material misrepresentation, etc.				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
		d. Signed statement that the volunteer has not engaged in any conduct that would be grounds to deny certification.				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
18		If volunteer is active and not assigned to a case, is there a log of activity/training in file? (Need three hours a month in organized program activities.)				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
		If volunteer is inactive, is there a training log? If inactive more than 6 months, reason? (Required to complete in-service training each calendar year.)				<input type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> NA	
19		Date of initial assignment.(DCATS)					
		Total number of training hours completed prior to first assignment. (DCATS)					

**Volunteer Mentoring Program**

If the county program has a mentoring program, we need to see some of the files of the mentors.  
 (\*Additional training will be offered by the state office in the future-Bonnie will advise when it is being offered).

Name of Mentor	One Year of CASA Experience and Appointed to at Least One Dependency Case? (Y/N)	Completed Additional Mentoring Training?* (Y/N)	Logs in File Identifying Mentoring Activity?	Date/Type of Last Activity in Logs

**TRAINING HOURS FOR CY \_\_\_\_**

<i>Date of Training</i>	<i>Name of Training</i>	<i>Pre AA, AA, Post AA, Other</i>	<i>Total Hours Obtained</i>

**TRAINING HOURS FOR CY \_\_\_\_**

<i>Date of Training</i>	<i>Name of Training</i>	<i>Pre AA, AA, Post AA, Other</i>	<i>Total Hours Obtained</i>

**Arizona Supreme Court  
Administrative Office of the Courts**

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**FUNDING AGREEMENT**

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Fiscal Year 2016

This Agreement is entered into by and between the Arizona Supreme Court, Administrative Office of the Courts (“AOC”), and the Superior Court in \_\_\_\_\_ County (“Grantee”).

**1. TERM**

This Agreement becomes effective on July 1, 2015, and shall remain in effect through June 30, 2016.

**2. MODIFICATION AND TERMINATION**

This Agreement may be modified or terminated by the AOC if in its judgment such action is necessary due to: (a) lack of funding; (b) statutory changes in the program; (c) Grantee’s failure to implement or operate the approved plan; (d) Grantee’s noncompliance with this Agreement or other program requirements; or (e) other circumstances necessitating such action. Either party may terminate this Agreement upon thirty (30) days written notice to the other party by certified mail.

**3. FUNDING RATIO**

- a. Funding will be provided on a ratio of 1 Program Manager for every 10 county coordinators; 1 county coordinator for 40 volunteers; 1 county support staff for no less than 2 FTE county coordinator positions. The ratio shall be pro-rated for all FTEs lower than one. Distances and multiple offices in a county may be considered for exceptions to this ratio. The total county coordinator FTE shall not exceed 1.0 until the 40 volunteers to 1 county coordinator position ratio is met.

The number of volunteers who are active but who are not appointed to cases shall not exceed 10% of the total number of volunteers.

- b. The Program Manager is responsible for direct reporting of 15 staff (10 county coordinators, 5 county support staff, and 400 volunteers) and shall not be held to the county coordinator to volunteer ratio.

- c. The county program shall ensure funds disbursed by the CASA state office are held in a separate revenue account.
- d. The county program shall notify the state CASA manager within 15 days of any county vacancy. The county program shall seek the written approval of the state office prior to filling any state-funded vacancy. The state office shall consider the current state of the CASA budget prior to approving the filling of the vacancy. Should the budget allow, the state office shall base the approval on compliance with the funding ratios established in #3a of this Funding Agreement.

#### 4. FUND ACCOUNTING

Funds distributed to Grantee shall be deposited in a Special Revenue Fund established for the execution of this Agreement. Any interest earned on these monies while in the possession of Grantee shall accrue to the fund for use by Grantee in accordance with its approved plan. Funds disbursed to Grantee for reimbursement of approved expenses do not have to be deposited into a Special Revenue account.

#### 5. EXPENDITURES

- a. **Distribution of Funds.** The AOC may retain all or any portion of the funds allocated to Grantee for the performance of its approved plan and may authorize direct expenditures for the benefit of Grantee. The specific amounts to be retained by the AOC for direct expenditures for the benefit of Grantee and to be disbursed to the Grantee are set forth in Addendum A of this Agreement. The AOC may periodically modify the distribution of funds contained in Addendum A based on its determination of Grantee's need for and usage of the funds.
- b. **Reimbursement.** Grantee shall reimburse volunteers for per diem and mileage costs for attending the mandatory initial Orientation Training, to the extent funds are available and according to state travel policies. The county coordinator may authorize reimbursement for volunteer training and extraordinary travel expenditures if funds are available, and according to state travel policies.
- c. **Reporting Requirements.** Grantee shall submit bi-annual progress reports to the AOC on January 31, 2016 and August 31, 2016. Quarterly progress reports are no longer required. If the 31<sup>st</sup> falls on a weekend or holiday, the progress report is due by 5:00 pm the next business day.

Grantee shall submit quarterly financial statements to the AOC by October 31, 2015, January 31, 2016 and April 30, 2016. A final closing financial statement is due to the AOC by August 31, 2016, and shall include any unexpended funds and interest in accordance with paragraph 4 of this Agreement. An inventory report with serial numbers of all equipment and office furnishings purchased with grant funds is due with the closing financial statement. Please note that the inventory report is due annually, instead of quarterly, and will be submitted with the final report on August 31, 2016.

Please note, the schedule for FY16 deliverables has changed. The Progress Report is now due twice per year, on January 31, 2016 and August 31, 2016, and the Inventory Report is due annually on August 31, 2016.

Progress Report Due	January 31, 2016
	August 31, 2016
Financial Statement Due	October 31, 2015
	January 31, 2016
	April 30, 2016
Closing Financial Statement and Inventory Report Due	August 31, 2016
Reversion Due, as applicable	September 1, 2016

- d. **Unexpended Funds.** Funds unencumbered as of June 30, 2016 and unexpended as of July 31, 2016 plus all unexpended interest accrued on such funds while in the possession of Grantee, shall be transmitted to the AOC for reversion no later than September 1, 2016. The reversion shall be accompanied by a closing financial statement signed by the Presiding Judge or appropriate Division/Department head if this Agreement is between the AOC and an organization other than an Arizona court.
- e. **Inappropriate Expenditures.** Grantee shall expend funds only for the purposes and uses specified in the approved plan and budget. Grantee agrees to reimburse the AOC for any unauthorized or inappropriate expenditures which are not in compliance with the approved plan and budget and this Agreement. Funds shall not be used to pay county or city administrative costs for services associated with receipt of those funds including, but not limited to, the cost of: accounting, payroll, data processing, purchasing, personnel, and building use. All equipment purchased solely with AOC funds shall be used solely for purposes in the approved plan unless written permission is received from the AOC.

- f. Budget Modifications.** Funds shall not be moved to or from any budget category without prior written approval from the AOC. All budget modifications shall be in accordance with the AOC's Budget Modification Policy.
- g. Termination of Funding.** In the event that this Agreement is terminated prior to June 30, 2016 all unexpended funds in the possession of Grantee shall be returned to the AOC within 30 days of such termination, along with, but not limited to: (1) a closing financial statement; (2) a final report outlining the program achievements; and (3) an inventory, including serial numbers, of all equipment purchased with grant funds. If termination is due to failure of Grantee to comply with the approved plan, the AOC may require return of equipment and supplies purchased with grant funds.

## 6. BOOKS AND RECORDS

- a. Financial Records and Examination.** Grantee shall maintain and shall require its subcontractors to maintain acceptable accounting systems, records, and documents to properly reflect all funds expended in the performance of the approved plan. All books, records and other documents relevant to this Agreement shall be retained by Grantee and its subcontractors for a period of five (5) years after the final payment has been made, or until after the resolution of any audit questions or contract disputes, whichever is longer. AOC, state, or federal auditors, as applicable, and any other persons duly authorized by the AOC shall have full access to, and the right to examine, audit, copy and make use of any and all said materials. All subcontracts shall include a provision acknowledging the authority of the AOC to conduct such audits or examinations.
- b. Program Records and Evaluation.** The AOC may monitor and evaluate the local plan to determine its effectiveness. As a condition of receipt of grant funds, Grantee agrees to maintain and provide to the AOC such data and statistics as may be required for purposes of evaluation. Grantee further agrees that authorized agents of the AOC shall have the right to conduct on-site visits for purposes of compliance monitoring and program evaluation. All subcontracts shall include a provision acknowledging the authority of the AOC to conduct such inspections and evaluations.

## 7. INVENTORY

Equipment purchased with funds received pursuant to this Agreement shall become the property of Grantee, and Grantee shall maintain written inventory and property control policies and procedures covering the equipment. Grantee may use its existing inventory system, but must at a minimum maintain the information required by AOC policies and procedures.

## **8. USE, LOSS AND DISPOSITION OF EQUIPMENT**

Equipment must be used as required by the approved plan for three years, unless written permission is given by the AOC. After this time, the equipment may be transferred upon approval of the presiding judge. Grantee is responsible for any maintenance, loss or damage to the equipment and the AOC makes no assurances regarding its repair or replacement. Equipment which is no longer needed or usable shall be held in surplus as required by this Agreement. If no such requirements are included in the Agreement, then local surplus property procedures may be utilized.

## **9. SANCTIONS**

In addition to any other remedy available pursuant to this Agreement, Grantee may be placed in financial sanction status for deficiencies including but not limited to, delinquent submissions, delinquent reports, inaccurate reporting of statistics, inadequate records, expenditures outside of the approved budget, and noncompliance with the approved plan for this or any other grant. During the period of sanction status, the AOC may take any appropriate action including:

- a. Written warning with request for immediate compliance.
- b. Withholding all or any portion of future program funds or equipment disbursements.
- c. Withholding all disbursements from all program funds.
- d. Requiring monthly submission of expenses prior to disbursement.
- e. Requiring monthly submission of expenses for reimbursement of actual costs incurred.
- f. Recovery of funds or equipment already disbursed.

To receive reimbursement while in sanction status, Grantee shall submit a monthly request to the AOC detailing expenses in funding categories as delineated on Addendum A. State funds shall not be used for any adverse financial costs or interest charged or incurred due to Grantee's financial sanction status.

## **10. PERFORMANCE LIABILITY**

Except as otherwise provided by law, in the performance of this Agreement and Grantee's approved plan both parties hereto are acting in their individual governmental capacities and not as agents, employees, partners, joint ventures, or associates of each other. The employees, agents, or subcontractors of one party shall not be deemed or construed to be the employees or agents of the other party. Each party is solely responsible for the actions of its employees under this Agreement.

FY16 Funding Agreement  
\_\_\_\_\_ County

Page 6

**JUVENILE COURT IN**  
\_\_\_\_\_ County

By \_\_\_\_\_  
\_\_\_\_\_

Presiding Judge

**ARIZONA SUPREME COURT  
ADMINISTRATIVE OFFICE OF THE  
COURTS**

By \_\_\_\_\_

Mike Baumstark

Deputy Administrative Director