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) is responsible for dependency related programs including the Court Improvement program, the Court Appointed Special Advocate (CASA) program, and the Foster Care Review Board (FCRB). DCSD has the specific responsibility of conducting ongoing operational reviews regarding the dependency process in the Arizona juvenile court system.

The operational review serves as a tool for ensuring that local juvenile courts comply with applicable statutes, administrative orders, funding agreements, juvenile court rules, and program policies and procedures. The review process is designed and implemented with the intent to:

- ✓ Maintain accountability throughout the state's juvenile courts for the handling of dependency cases
- ✓ Provide technical assistance to the juvenile courts to improve the status of dependent children

Goal of the Operational Review Process

To review efforts 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 related juvenile court 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 related juvenile court 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 court's dependency case proceedings and related juvenile court programs.
- To document program resource needs and provide technical assistance when needed.

Review Process

The steps of the operational review process are as follows:

Initial Information Request:

- ✓ The operational review team will contact the presiding juvenile court judge, juvenile court director, and court administrator to schedule an entrance conference.
- ✓ After the entrance conference is finalized, the review team will send the Initial Information Request (IIR) to the county. The appropriate county personnel are asked to return the completed version of the IIR with any attachments to the review team prior to the entrance conference.

Entrance Conference:

- The entrance conference is scheduled at the convenience of the presiding juvenile judge and is an opportunity for the county to learn more about the review process and ask any questions they may have.
- The conference includes representatives from the review team. Attendance by representatives from the county are at the discretion of the presiding juvenile court judge, and typically include 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.

Fieldwork:

- The review team will review court and CASA files, observe court proceedings, and gather additional administrative and statistical compliance information from JOLTS and the state CASA office.
- File reviews will be done both electronically and on-site, depending on the availability of electronic records. The goal of the review team is to minimize disruption and additional workload to county court personnel and the team will conduct on-site file reviews for any documents not available electronically.
- The time required for the fieldwork 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 review team will compile a draft report with findings and recommendations.
- The review team will contact the county to schedule an exit conference, and the draft report will be provided to the county prior to the exit conference.

Exit Conference:

- The exit conference allows the county to ask any questions and share any comments they may have about the review process, findings, and recommendations.

Final report:

- ✓ After the exit conference, the county is asked to provide a corrective action plan within 30 days to address the recommendations made by the review team. This response will be included in both the relevant portions of the report and appended in its entirety to the Operational Review Final Report.
- ✓ Once the county response is received, the review team will compile the final report and provide a copy to the county.

Follow-up:

- The review team will contact the county 6 months after the final report is completed to receive an update on the implementation of the corrective action plan identified by the county.
- Once the county provides a response, the operational review process is completed. The county can contact the review specialist or court improvement manager if additional technical assistance is needed prior to the next operational review.

Client Guide Overview

The remaining portions of this guide include the relevant forms and instruments used by the review team to assess the juvenile court and CASA programs. Section 2 includes the initial information request for the court and CASA programs, Section 3 includes court improvement review instruments, and Section 4 includes CASA program review instruments.

Dependency Operational Review
Court Improvement Initial Information Request
_______ County

Budget Considerations	
1. Are Court Improvement monies expended only for purposes and uses specified in the Court Improvement Funding Agreement and Addendum A?	☐ Y ☐ N ☐ NA
2. Are Court Improvement disbursements deposited into a special revenue account? ***(Please provide documentation of the deposit of funds received for FY__ and FY__.)***	☐ Y ☐ N ☐ NA
3. If funds were shifted from, to, or within budgeted categories described in Addendum A, was prior written authorization received from the AOC?	☐ Y ☐ N ☐ NA
4. Were written inventory and property control policies and procedures maintained for equipment purchased with Court Improvement monies from FY__ through FY__? ***(Please provide the inventory tracking record if purchases were made.)***	☐ Y ☐ N ☐ NA
Record Retention	
1. Are financial and program records related to the approved plans and Funding Agreements retained for a period of at least five years?	☐ Y ☐ N ☐ NA
2. Do subcontracts have a provision acknowledging the authority of the AOC to conduct an operational review and evaluate program records?	☐ Y ☐ N ☐ 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?	
Juvenile Information Tracking System	
1. Is the dependency court data tracking system accessible to all appropriate court personnel?	☐ Y ☐ N ☐ NA
2. Please explain the **process** by which the juvenile court ensures that only authorized individuals (security matrix) are given access to dependency information in the juvenile court data tracking system and how frequently the security matrix is updated. When did this process begin?	
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 provide the names of staff who require additional dependency data entry training.	

Court Operations and Procedures
6. Please list the judicial officer(s) who hear dependency cases and the date they began hearing cases.

7. Do all judicial officers hearing dependency cases have access to a current copy of the Juvenile Bench Book?	☐ Y ☐ N ☐ NA
8. Please share any resources other than the Juvenile Bench Book that judicial officers use to ensure compliance with hearing requirements.	
9. Pursuant to Rule 309 of the Rules of Procedure for the Juvenile Court, attorneys representing parents or children are required to complete specific dependency training and report this to the Presiding Juvenile Judge. Please explain the process by which the court tracks attorney compliance with these requirements and how long the process has been in place.	
10. Please describe any efforts made at your court to provide parents and youth the link to the High Quality Legal Representation Attorney Performance Survey.	
11. Please identify the name of the Dependency Coordinator(s).	
12. Who currently facilitates the Pre-Hearing Conferences and what relevant training has this person received regarding facilitation or mediation?	
13. How much time is set aside for each Pre-Hearing Conference?	
14. Who is currently facilitating mediations and what relevant training have they completed?	
15. Approximately what percentage of contested dependency adjudication matters are **resolved** through mediation or settlement conferences?	
16. Please explain how agreements from the Pre-Hearing Conferences are disclosed to the judicial hearing officer.	
17. How often does your Court Improvement/Dependency Caseflow Management Team meet?	
18. Please share any positive or "best practice" initiatives completed or underway in your court since the last operational review.	

Initial Information Request – CASA
_______ County

General Administration		
ACJA 7-101 (D-11)	1. Does the CASA coordinator avoid soliciting donations?	☐Y ☐N ☐N/A
ACJA 7-101 (D-12)	2. Are the CASA coordinator and volunteers 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.	☐Y ☐N ☐N/A
Program Plan and Financial Management		
ACJA 7-101 (F-2)	1. Does the CASA staff enter all required statistical information on cases and volunteers on at least a monthly basis?	☐Y ☐N ☐N/A
ACJA 7-101 (F-3)	2. Does the CASA coordinator reimburse volunteers for per diem and mileage costs for attending the mandatory pre-service training, to the extent funds are available and according to state travel policies?	☐Y ☐N ☐N/A
Policy (P. 22-3)	3. Are funds disbursed from the state Program Manager held in a separate revenue account?	☐Y ☐N ☐N/A
County Program Operations		
ACJA 7-101 (G-2)	1. Is each case screened following a procedure approved by the presiding juvenile judge, or another judge with the approval of the presiding judge?	☐Y ☐N ☐N/A
ACJA 7-101 (G-5)	2. Are volunteers appointed to no more than 2 cases at one time to volunteer unless additional cases are assigned at the discretion of the county coordinator?	☐Y ☐N ☐N/A
ACJA 7-101 (G-7)	3. Does the county program ensure that an outside individual or agency (for example: DCS, attorneys, private parties, law enforcement, etc.) shall not review any volunteer or case files unless a subpoena and an order of the presiding judge or another judge, with the approval of the presiding judge has been issued, pursuant to A.R.S. § 8-522(F)?	☐Y ☐N ☐N/A
ACJA 7-101 (G-8)	4. Upon receipt of a subpoena, does the CASA coordinator or designee deliver a complete duplicate of any documents related to the subpoena and kept by the CASA volunteer to the presiding juvenile judge, or another judge, with the approval of the presiding judge, for *in camera* inspection? The CASA coordinator shall not permit a file to be viewed without an order.	☐Y ☐N ☐N/A
ACJA 7-101 (G-9)	5. If a CASA volunteer testifies at a hearing before a judge or at a jury trial and uses contact logs or any portion of the volunteer's file that have not been the subject of a subpoena, does the CASA coordinator ensure that any disclosure to the parties is ordered by the court.	☐Y ☐N ☐N/A
ACJA 7-101 (G-10)	6. The CASA coordinator ensures the following incidents are reported to the appropriate authorities: − If the CASA coordinator is notified by a volunteer who reasonably believes that a child is in imminent danger or is, or has been, the victim of physical injury, abuse, a reportable offense or neglect. − The CASA coordinator is notified that there is an allegation of abuse or neglect against a volunteer.	☐Y ☐N ☐N/A

ACJA 7-101 (G-11)	7. Does the county coordinator ensure that upon voluntarily or involuntarily leaving the program, volunteers return identification badges and all case related materials?	☐Y ☐N ☐N/A
ACJA 7-101 (G-12)	8. Does the CASA coordinator avoid accepting appointment as a CASA volunteer?	☐Y ☐N ☐N/A
ACJA 7-101 (G-13)	9. Does the CASA coordinator prevent a volunteer 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) the county program shall prohibit the volunteer 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 from the date of conviction?	☐Y ☐N ☐N/A
ACJA 7-101 (G-14)	10. Do county program staff immediately notify the CASA coordinator, county program manager, or supervisor and volunteers shall notify the CASA coordinator if:	☐Y ☐N ☐N/A
	a. They are the subject of an allegation or investigation in any criminal matter? 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)-(e)? f. They are currently awaiting trial for criminal offenses listed in I(1)(d)-(f) or I(2)(b)(c)(e) in this state or in another state or jurisdiction? g. They have engaged in any behavior listed in I(1)(g)-(k).	
ACJA 7-101 (G-15)	11. Does either the CASA coordinator, county program manager or supervisor immediately notify the state CASA office manager if:	
	a. They are the subject of any action listed in (G)(14)(a)-(g)?	☐Y ☐N ☐N/A
	b. County program staff or volunteers have reported to them that they are the subject of an action listed in (G)(14)(a)-(g)?	☐Y ☐N ☐N/A
ACJA 7- 503 (G-16)	12. Does CASA staff utilize office computers in adherence with ACJA 1-503 Electronic Communications?	☐Y ☐N ☐N/A
ACJA 7-101 (G-17)	13. Are program records regarding applicants and volunteers not open to applicants, volunteers, or the public?	☐Y ☐N ☐N/A
ACJA 7-101 (G-17)	14. Upon request, does the county program provide applicant or volunteer with a copy of the applicant's or volunteer's individual application? Are notes and work product of county staff confidential and not provided?	☐Y ☐N ☐N/A
Policy (P. 23-3)	15. Does the county coordinator or a mentor under the supervision of the county coordinator, conduct pre and post CASA Advocacy Academy Training for all new volunteers, as provided in the statewide training curriculum?	☐Y ☐N ☐N/A
Policy (P. 23-5)	16. Does CASA coordinator staff maintain and keep current all program performance manuals?	☐Y ☐N ☐N/A

Policy (P. 23-6)	17. Does CASA coordinator staff provide ongoing recognition of volunteers or as funding allows, provide at least one annual volunteer recognition event?	☐Y ☐N ☐N/A
Volunteer Recruitment and Retention		
Policy (P. 26-1)	1. Does the CASA coordinator have written plans for recruiting and selecting volunteers?	☐Y ☐N ☐N/A
Policy (P. 26-1)	2. Is a standardized packet of information given to each applicant, which contains the purpose and role of the CASA volunteer, qualifications for becoming a volunteer and the minimum time commitments?	☐Y ☐N ☐N/A
Policy (P. 26-2)	3. Does the CASA coordinator recruitment plan include targeted strategies to attract volunteers from diverse cultural, ethnic, and socio-economic backgrounds?	☐Y ☐N ☐N/A
Policy (P. 26-3)	4. Does the CASA coordinator's strategies for recruitment of volunteers include community outreach?	☐Y ☐N ☐N/A
Public Relations		
Policy (P. 27-2)	1. Does the CASA coordinator:	
	a. Conduct an ongoing public information and educational program?	☐Y ☐N ☐N/A
	b. Disseminate public information for the purpose of broadcasting awareness of the needs and problems of the children that it serves?	☐Y ☐N ☐N/A
	c. Make known its role, functions, and capabilities to other agencies, community organizations, government bodies, and corporations, as appropriate to its mission?	☐Y ☐N ☐N/A
Policy (P. 27-3)	2. Does the CASA coordinator work closely with organizations such as local bar associations, other child advocacy programs, community service and civic groups, and businesses to accomplish its mission?	☐Y ☐N ☐N/A
Policy (P. 27-4)	3. Does the CASA coordinator 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?	☐Y ☐N ☐N/A
File Management		
Policy (P. 36)	1. Does the county program office maintain copies of all volunteer reports, correspondence, and notes from telephone or in-person consultations concerning the case?	☐Y ☐N ☐N/A
Policy (P. 36)	2. Is information about cases only shared with the parties designated by the court?	☐Y ☐N ☐N/A
	3. Does the CASA coordinator staff develop and maintain duplicate case files; one for the volunteer and another one located in the program office?	☐Y ☐N ☐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?	☐Y ☐N ☐N/A
Policy (P. 37)	5. When a volunteer leaves the program, are the volunteer files retained for a period of five years from the volunteer's exit date and maintained in a confidential and secure area?	☐Y ☐N ☐N/A

Initial Certification and Application Process		
ACJA 7-101 (H-3)	1. Does the CASA program deny the applicant if the applicant refuses to authorize a release of information to complete background checks?	☐Y ☐N ☐N/A
ACJA 7-101 (H-4)	2. Does the county program promptly notify the applicant accepted for certification?	☐Y ☐N ☐N/A
Denial of Certification		
ACJA 7-101 (I-1)	1. Does the CASA coordinator deny certification if the applicant has not completed any aspect of the application process?	☐Y ☐N ☐N/A
	2. Does the CASA coordinator deny certification if the applicant has not completed the application process, including pre-service training, within one hundred twenty (120) days and has not been granted good cause extension by the CASA coordinator?	☐Y ☐N ☐N/A
ACJA 7-101 (I-3)	3. Does the CASA coordinator deny certification if the applicant materially misrepresented facts or committed fraud in the application process?	☐Y ☐N ☐N/A
	4. Does the CASA coordinator deny certification if the applicant is awaiting trial for criminal offenses in this state, or another state or jurisdiction, or has been convicted of criminal offenses listed in ACJA §7-101 (I)(1)(d) or similar offenses in this state, another state or jurisdiction?	☐Y ☐N ☐N/A
	5. Does the county coordinator promptly notify the applicant of being denied certification and only provide general reasons for the denial?	☐Y ☐N ☐N/A
	6. Is the applicant advised that if their application is denied, they may have the decision reviewed by the presiding juvenile court judge upon request?	☐Y ☐N ☐N/A
Volunteer Status		
ACJA 7-101 (J-2)	1. Does the CASA coordinator address any volunteer's failure to adhere to the minimum performance standards of the CASA program? The CASA coordinator shall make recommendations to the presiding judge of the juvenile court, or another judge, with the approval of the presiding judge, regarding limitations on types of cases assigned to the volunteer, suspension, or termination.	☐Y ☐N ☐N/A
Volunteer Minimum Performance Standards		
ACJA 7-101 (K-1a)	1. Do the volunteers advocate for the child's safety as the first priority?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1a)	2. Do volunteers 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?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1a)	3. Do volunteers provide advocacy to ensure that appropriate case planning and services are provided for the child?	☐Y ☐N ☐N/A

ACJA 7-101 (K-1b)	4. Before appointment to a case, are volunteers required to disclose to the county coordinator or court any pre-existing relationship with a child or the child's family, any relation to any parties in the case, and any employment or affiliation at any agency that might result in a conflict of interest?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1c)	5. Do volunteers accept appointment in dependency, Title 8 guardianship, and termination actions pursuant to Rule 112, Rules of Procedure for the Juvenile Court and A.R.S. 8-522(A)?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1e)	6. Does your program require volunteers 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?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1f)	7. Do volunteers serve and respond to requests without bias of race, religion, sex, age, national origin, or physical impairment?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1g)	8. Are volunteers advised that they shall use public resources, property, and funds under the volunteer's control responsibly and for the purpose intended by law and not for private use?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1h)	9. Do volunteers consult with the county coordinator to address any ethical issues that arise?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1i)	10. Do volunteers perform authorized functions in a professional and impartial manner?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1j)	11. Do volunteers provide a written report, previously discussed and reviewed with the CASA coordinator, prior to every hearing in a format and manner outlined in CASA program policies?	☐Y ☐N ☐N/A
Policy (Pg. 29)	12. What percentage of court reports are submitted to the CASA program on time? (Two weeks prior to the court hearing?)	%
ACJA 7-101 (K-1k)	13. Do volunteers attend all court hearings pertaining to the appointed case and provide oral testimony to the court when requested?	☐Y ☐N ☐N/A
ACJA7-101 (K-1l)	14. Do volunteers meet in-person with the child once every 30 days at a minimum? An exception may be granted at the discretion of the county program coordinator	☐Y ☐N ☐N/A
ACJA7-101 (K-1m)	15. Do volunteers monitor the child's placement and observe the child's behavior in the placement to assess the child's needs and identify any problems discovered in a written report to the court?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1n)	16. Do volunteers inform the CASA coordinator promptly of urgent developments in the case so that the CASA coordinator staff can notify the court through appropriate means?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1o)	17. Do volunteers consult at least monthly with the CASA coordinator in case/program discussion, and document the discussion in the contact log?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1t)	18. Do volunteers who reasonably believe that a child is in imminent danger, or is, or has been, the victim of physical injury, abuse, a reportable offense, or neglect report these observations to the appropriate authorities and inform the CASA coordinator?	☐Y ☐N ☐N/A
ACJA 7-101 (K-1u)	19. Do volunteers inform the CASA coordinator promptly if the volunteer has been arrested for, charged with, indicted for, convicted of, or pled guilty to any misdemeanor or felony since the applicant's last certification?	☐Y ☐N ☐N/A

ACJA 7-101 (K-2)	20. Are volunteers advised that they shall not give legal or medical advice?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	21. Are volunteers advised that they shall not provide therapeutic counseling?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	22. Are volunteers advised that they shall not provide health care services?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	23. Are volunteers advised that they shall not make placement arrangements for the child?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	24. The volunteer will not give expensive or excessive gifts to the child, the child's family or caregiver. Does the volunteer consult with the CASA coordinator to define the value of a gift in the context of this code?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	25. Are volunteers advised that they shall not take the appointed child to any home other than the child's placement without notifying the CASA coordinator and receiving prior approval from the DCS supervisor or case manager?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	26. Are volunteers advised that they shall not take the appointed child to the volunteer's home or permit the child to stay overnight with the volunteer, without receiving prior approval of the DCS supervisor, DCS case manager, CASA coordinator, and a specific order from the court?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	27. Are volunteers advised that they shall not take the appointed child to isolated places involving only the CASA volunteer and child?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	28. Are volunteers advised that they are not permitted to perform home studies for out-of-state or in-state agencies?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	29. Are volunteers advised that they are not permitted to transmit confidential information via home computers unless transmission is through the AOC's secure web server or a secure web server provided by the county and approved by the administrative director?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	30. Are volunteers advised that they shall not request or accept any fee or compensation in the course of CASA volunteer service?	☐Y ☐N ☐N/A
ACJA 7-101 (K-2)	31. Are volunteers advised that they shall not use or attempt to use their official position to secure unwarranted privileges or exemptions?	☐Y ☐N ☐N/A
ACJA 7-101 (K-4)	32. If a CASA has been away from the program for more than a year, are they required to repeat the application process?	☐Y ☐N ☐N/A
Policy (Pgs. 28-30)	33. Do volunteers maintain confidentiality in handling program issues, case, and volunteer information?	☐Y ☐N ☐N/A
	34. Do volunteers review case records and interview the child and other appropriate parties involved in the case?	☐Y ☐N ☐N/A
	35. Do volunteers communicate with caregivers about the child's behavior and relationships?	☐Y ☐N ☐N/A
	36. Do volunteers participate as a member of the case management team?	☐Y ☐N ☐N/A
	37. Do volunteers participate in the formulation of any agreement, stipulation, or case plan entered into regarding the child and provide input to subsequent revisions?	☐Y ☐N ☐N/A

	38. Do volunteers advocate for the best interest of the child, identify, service needs, and make recommendations to the court regarding timely placement of the child?	☐Y ☐N ☐N/A
	39. Do volunteers assist the responsible parties to ensure that the child's educational needs are being met?	☐Y ☐N ☐N/A
	40. Do volunteers report to the appropriate authority significant changes in family situations or violations of court orders?	☐Y ☐N ☐N/A
	41. Do the volunteers provide recommendations to the court on placement and services?	☐Y ☐N ☐N/A
	42. Do volunteers assist the court in exploring alternative placements for the child?	☐Y ☐N ☐N/A
	43. Do volunteers make recommendations at the Foster Care Review Board (FCRB) meetings?	☐Y ☐N ☐N/A
	44. Do volunteers 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?	☐Y ☐N ☐N/A
	45. Do volunteers maintain contact with the county coordinator to alert or to discuss high profile cases or problems as they arise?	☐Y ☐N ☐N/A
	46. Do volunteers provide to the CASA coordinator office all case-related correspondence as directed by the county coordinator?	☐Y ☐N ☐N/A
	47. Does the program require volunteers to notify their insurance carriers that their CASA volunteer work may involve transporting children?	☐Y ☐N ☐N/A
Training		
Policy (Pg 34)	New CASA coordinator staff shall:	
	1. Attend New Staff CASA Advocacy Academy Training provided by the state program office	☐Y ☐N ☐N/A
	2. Attend the initial volunteer CASA Advocacy Academy Training	☐Y ☐N ☐N/A
	3. Observe a Pre-hearing Conference, Preliminary Protective Hearing, and a Review Hearing	☐Y ☐N ☐N/A
	4. Observe a Foster Care Review Board (FCRB) meeting unless one is not scheduled during the training period	☐Y ☐N ☐N/A
	5. Attend a case management staffing with DCS (county coordinator position only).	☐Y ☐N ☐N/A
	6. Attend a Pre- and Post-OT unless one is not scheduled during the training period.	☐Y ☐N ☐N/A
	7. Receive the training required by the state program office for handling ethical issues and confidential material.	☐Y ☐N ☐N/A
	8. Complete online Standard Security & Awareness training.	☐Y ☐N ☐N/A
	9. Are the CASA coordinator staff in compliance with the COJET requirements?	☐Y ☐N ☐N/A
Policy (Pg 35)	10. Are all requests by volunteers for training not provided or organized by CASA coordinator staff pre-approved by the county coordinator before training hours are credited?	☐Y ☐N ☐N/A

Policy (Pg 35)	11. Please describe some of the in-service training organized by the CASA coordinator staff to assist volunteers with completing their 12 hours of in-service training per calendar year.	
Personal Liability		
Policy (P. 33-2)	1. Do county coordinators ensure that applicants and volunteers are made aware of liability and risk management laws and regulations including those pertaining to automobile usage?	☐Y ☐N ☐N/A
	2. Do county coordinators ensure that applicants and volunteers are provided with the Arizona Code of Judicial Administration (ACJA) and program policies pertaining to liability and risk management?	☐Y ☐N ☐N/A
Complaint, Discipline, and Dismissal of Volunteers		
ACJA 7-101 (I-1)	1. Does the CASA program have a Designated CASA Investigator (DCI), designated by the juvenile judge, or another judge, with the approval of the presiding judge?	☐Y ☐N ☐N/A
ACJA 7-101 (I-1)	2. Does the DCI conform to all requirements set forth in ACJA 7-101 (I) and the CASA Policies and Procedures Manual while processing complaints?	☐Y ☐N ☐N/A
ACJA 7-101 (I-2)	3. Does the CASA program require all complaints to be in writing with sufficient specificity to warrant further investigation and require the name and telephone number of the complainant to be provided?	☐Y ☐N ☐N/A
ACJA 7-101 (I-3)	4. Do all judicial officers and state and CASA coordinator staff notify the DCI if it appears that a volunteer 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?	☐Y ☐N ☐N/A
ACJA 7-101 (I-4)	5. While an investigation is pending, does the DCI seek immediate suspension of the volunteer if there is an allegation of child abuse and neglect against the volunteer or any allegation of conduct that would be grounds for mandatory or discretionary denial of certification?	☐Y ☐N ☐N/A
ACJA 7-101 (I-5)	6. Upon review of the evidence, does the DCI make a report and recommendation for resolution of the complaint to the presiding juvenile judge, or another judge, with the approval of the presiding judge, and the judge takes action up to and including dismissal from the program?	☐Y ☐N ☐N/A
ACJA 7-101 (I-6)	7. Does the CASA coordinator, or designee, document any complaints and resolutions in the volunteer file and take action necessary to follow-up on the resolution?	☐Y ☐N ☐N/A
ACJA 7-101 (I-9)	8. Is a volunteer immediately dismissed if there has been a judicial or administrative determination of abuse or neglect against the volunteer?	☐Y ☐N ☐N/A
ACJA 7-101 (I-10)	9. Is a volunteer dismissed immediately if they use illegal drugs or alcohol while performing CASA duties, or exhibits substance-induced impaired behavior while performing CASA duties?	☐Y ☐N ☐N/A

General Information
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

County:	***Date of Entrance Conference:***	***Reviewer:***

Budgetary Considerations:

Requirement:	***% Compliance***
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 31st, 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.	

Key Elements:	**All Elements:**

Record Retention:

Requirement:	***% Compliance***
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.	

Key Elements:	**All Elements:**

Juvenile Information Tracking System

Requirement:	***% Compliance***
1. The data tracking system must be accessible to all appropriate court personnel.	
2. The Grantee shall establish a security matrix to show who has access to the tracking system.	
3. Monthly data entry must be completed by the date identified in the funding agreement.	
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 DUG meetings.	

Key Elements:	**All Elements:**

Court Operations and Procedures

Requirement:	***% Compliance***
- Within the first twelve months of assuming a dependency assignment, Judicial Officers must complete Dependency 101, the dependency training program approved by COJET.	
- Within the first 120-days of assuming a dependency assignment, Judicial Officers are required to complete an Initial Dependency Bench Training	
- Attorneys/Guardians ad Litem will provide the required training documentation to the court.	
- Grantee must have an individual responsible for the facilitation of Pre-Hearing Conferences.	
- Grantee must have an individual responsible to handle mediations.	
- The court will identify members of a multi-disciplinary team and hold regular meetings to ensure efficiency in the dependency process.	

Key Elements:	**All Elements:**

Case File and Courtroom Observation

Requirement:	***% Compliance***
1. Case File Review, Key Elements.	
2. Case File Review, All Elements.	
3. Courtroom Observation, Key Elements.	
4. Courtroom Observation, All Elements.	

Key Elements:	**All Elements:**

Total Key Elements:	**Total All Elements:**

CI CASE FILE TOOL

County	Date	Reviewer
Case Name	**JD#**	

Dependency Petition	Removal Date	Petition Date
Was the case initially filed as an AG petition?		☐ Y ☐ N ☐ NA

Temporary Orders	Date Signed	JO
Did the court **determine** whether continuation in home was **contrary to the child's welfare**? ARS 8-829(A)(1)		☐ Y ☐ N ☐ NA
Did the court set forth the **factual basis** for this determination? ARS 8-829(C)		☐ Y ☐ N ☐ NA

IHI Initial Hearing	Date	JO
	1st Continued Date	# of Continuances
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. Did the court find whether the parent wished to participate in in-home intervention and agree to a case plan and participation in services? Rule 330(b)(2)(C)	☐ Y ☐ N ☐ NA
2. Did the court find that the child(ren) have not been removed from the home pursuant to ARS 8-821 through 8-831? Rule 330(b)(2)(A)	☐ Y ☐ N ☐ NA
3. Did court find in-home intervention appears likely to resolve the issues described? Rule 330(b)(2)(B)	☐ Y ☐ N ☐ NA
4. Did the court find that one of the following conditions existed: Rule 330(b)(2)(D) A. The child is at risk of harm because the parent is unable or unwilling to provide food, clothing, shelter or medical care? B. The parent is unable to provide proper care, control and supervision of the child.	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
5. Did the court order a specific time for completion of in-home intervention? Rule 330(b)(3)	☐ Y ☐ N ☐ NA

IHI Review Hearing	Date	JO
	1st Continued Date	# of Continuances
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. Did hearing occur within one year of the Initial In-Home Intervention Hearing? Rule 330(b)(3)	☐ Y ☐ N ☐ 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 330(b)(3)	☐ Y ☐ N ☐ NA

Preliminary Protective Hearing

Date	**JO**
1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. **Was the hearing:** **A. Held within 5-7 working days from the child's removal? ARS 8-824(A), Rule 328(c)** **B. Continued for no more than five days. ARS 8-824(A), Rule 328(c)**	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
2. Did the court: A. Inquire regarding **ICWA**? ARS 8-815(A), Rule 332(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 332(b)(5) C. **Instruct** the participants to advise the court if they become aware of information that would indicate that the child is or may be an Indian child? 25 C.F.R.23.107(a) D. Inquire if the petitioner used due diligence to identify the Tribes in which the child may be a member and to verify whether the child/parent is a member or eligible for membership? 25 C.F.R. 23.107(b)(1) Rule 332(b)(4)(B), (d)(5)	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
3. Did the court **appoint counsel**? Rule 332(c)(1)	☐ Y ☐ N ☐ NA
4. Did the court **review the PHC agreements/stipulations**? ARS 8-824 E(1), Rule 332(c)(5)	☐ Y ☐ N ☐ NA
5. Did court determine whether DCS made arrangements for assembly of child's **medical records**, a medical assessment, has implemented referrals, and communicated recommendations & results. Rule 332(c)(3)(B)	☐ Y ☐ N ☐ NA
6. If a parent contests temporary custody, did the court conduct a **review of temporary custody**? If so, use the Review of Temporary Custody Tool as well. Rule 332(c)(6),(d)(3)	☐ Y ☐ N ☐ NA
7. Did the court: A. Conduct the **IDH** for any **party who is present and has been served**? Rule 332(d)(2) B. **Set a continued IDH** for any party not served/appearing? Rule 332(e)(8)	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
8. Did the court: A. Determine if DCS **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), Rule 332(c)(3)(A) B. Enter the **factual basis** for this determination? ARS 8-829(C)	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
9. Did the court provide the-**parent a copy of Form 1** and request parent sign and return to the court and ensure parent understands their rights and responsibilities? Rule 332(c)(9)	☐ Y ☐ N ☐ NA
10. 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)	☐ Y ☐ N ☐ NA
11. Did the court **order the parent** 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 332(e)(7)	☐ Y ☐ N ☐ NA
12. Did the court advise the parent of the **consequences of failure to attend subsequent proceedings** Rule 326(a)(1)	☐ Y ☐ N ☐ NA
13. 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(I)	☐ Y ☐ N ☐ NA
14. Did the court determine whether **temporary custody was clearly necessary** to prevent abuse or neglect? ARS 8-825(C) Rule332(d)(4)	☐ Y ☐ N ☐ NA
15. **Did the court enter orders regarding placement and visitation pending the determination of the dependency petition? ARS 8-824(J)(1)**	☐ **Y** ☐ **N** ☐ **NA**
16. **Did the court make a determination as to whether a proposed case plan for services has been submitted and whether it is reasonable and necessary to carry out the case plan? ARS 8-824(J)(3) Rule 332 (c)(2)(F)**	☐ **Y** ☐ **N** ☐ **NA**
17. **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 RE finding *if the court did not do so in the temporary orders*? ARS 8-829(C)**	☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA**

18. If in DCS custody, did the court order **DCS to make reasonable efforts** to provide services to the child and parent(s) to **facilitate reunification**? ARS 8-825(D)(1) Rule 332(e)(5)(A)	☐ Y ☐ N ☐ NA
19. If the parents denied the allegations, did the court: A. **Set** date for settlement conference, pretrial **conference or mediation**? Rule 332(e)(9) B. **Admonished the parent(s)** re failure to **appear** and/or participate in **future hearings?** ARS 8-826	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
20. Did the court: A. Determine whether **paternity has been established** as to any father, and if not, ask the mother, and may take her testimony, concerning the identity and location of any potential father? Rule 332(c)(2)(C) B. **Order that paternity be established** through testing or execution of voluntary acknowledgement of paternity? Rule 332(e)(3)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
21. Did the court identify on the record all the documents the court has received and will consider? Rule 332 (c)(4)	☐ Y ☐ N ☐ NA
22. Did the court address the court's **jurisdiction**? Rule 332 (d)(1)	☐ Y ☐ N ☐ NA
23. Did the court inquire: A. If counsel for the child met with child prior to the hearing? B. If not, did the court order counsel to meet with client no later than 14 days after PPH? Rule 306(d)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA

Review of Temporary Custody Hearing	**Date**	**JO**
	1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. Did the Court limit testimony and evidence pursuant to ARS 8-824(E)(3), evidence in support of or rebut finding of need for continued temporary physical custody in out of home placement? Rule 333 (c)(1-2)	☐ Y ☐ N ☐ NA
2. Was the **parent(s)** allowed, at conclusion of petitioner's case, to **present evidence** in support of child's return? Rule 333(c)(3)	☐ Y ☐ N ☐ NA
3. Did the court determine whether there was **probable cause** to believe that temporary custody was clearly necessary **to prevent further abuse or neglect**? Rule 333(d)	☐ Y ☐ N ☐ NA
4. If the **petitioner failed to meet the burden of proof**, did the court order the return of the child to the parent, guardian or Indian custodian? Rule 333(e)(1)	☐ Y ☐ N ☐ NA

Initial Dependency Hearing	**Date**	**JO**
	1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/F	☐ Tribal Atty	☐ Family Present	☐ Other

1. Was the hearing held: **A. At the time of the PPH? ARS 8-842(A), Rule 332(d)(2)** **B. Within 21 days of the filing of the petition? ARS 8-842(A), Rule 334(b)(1)** **C. No less than 10 days after publication is complete? ARS 8-842(A), Rule 334(b)(2)**	 ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA**
2. Did the court: A. 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 a **significant relationship to the child**? Rule 334(g)(7) ***(PPH-11)*** B. **Inform DCS** immediately if they become aware of information re the **location of a relative or person with a significant relationship** with the child? Rule 334(g)(8) ***(PPH 11)***	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
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) Rule 334(e)(1) ***(PPH 8)***	☐ Y ☐ N ☐ NA
4. Did the court	

A. Inquire regarding the **ICWA** status? CFR 23.107 ARS 8-815(A), Rule 334(c)(5) (***PPH 2)*** 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 344(f)(4) 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 *or continue the IDH and defer the findings as permitted by section (h)*? Rule 334(f)(5) ***(PPH 2)***	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
5. Did the court **appoint counsel**? Rule 334(c)(1) ***(PPH 3)***	☐ Y ☐ N ☐ NA
6. Did the court provide the-**parent a copy of Form 1** and request parent sign and return to the court and ensure parent understands their rights and responsibilities? Rule 334(c)(6) ***(PPH9)***	☐ Y ☐ N ☐ NA
7. Did the court determine whether paternity has been established as to any father, if not, the court must ask the mother, may take testimony concerning identity and location of any potential father. Rule 334(c)(2)(C) If paternity has not been established, that it be established through testing or execution of a voluntary acknowledgement of paternity. Rule 334 (i)(2) ***(PPH20)***	☐ Y ☐ N ☐ NA
8. Did the court inquire of the parent whether they wish to **admit, deny** or not contest the allegations contained in the dependency petition. Rule 334(c)(7)	☐ Y ☐ N ☐ NA
9. If **admission/no contest**, did the court determine that the parent **understood rights** and knowingly, voluntarily and intelligently waived these rights? ARS 8-843(C) ***(PPH13)***	☐ Y ☐ N ☐ NA
10. If **admission/no contest**, did the court proceed to dependency **adjudication hearing** and set or conduct a disposition hearing? If so, use Adjudication Hearing Tool. Rule 334(c)(7)(A)	☐ Y ☐ N ☐ NA
11. 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 334(c)(7)(B), (g)(10) ***(PPH19)***	☐ Y ☐ N ☐ NA
12. Did the court: A. Enter findings as to **service** upon parties required by ARS 8-841? Rule 334 (c)(2)(A) [Rule 329(a) – service is complete when provided to parent(s) at PPC/PPH; signed an acceptance of service; or assigned attorney accepts service on behalf of the parent] B. Address the court's jurisdiction? Rule 334(f)(1)	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
13. Did the court order the petitioner to effectuate service on any party under Rule 329 who has not been served and set continued IDH or a publication hearing? Rule 334(g)(9) ***(PPH 8)***	☐ Y ☐ N ☐ NA
14. Did the court advise the parent of the **consequences of failure to attend** subsequent **proceedings** and participate in reunification services? Rule 334(f)(6)(A)(B) ***(PPH12)***	☐ Y ☐ N ☐ NA
15. Did the court: **A. Determine if reasonable efforts made to prevent/eliminate need for removal and if services were available to eliminate need for continued removal? ARS 8-825(D) Rule 334(c)(2)(D)** ***(PPH 18)*** **B. Enter the factual basis for this RE finding (*check temporary orders)*? ARS 8-829(C)** ***(PPH17)***	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
16. If in DCS custody, did the court **order DCS to make reasonable efforts** to provide services to the child and parent(s) to facilitate reunification? ARS 8-843(E)(1) Rule 334(g)(4)(A) ***(PPH 18)***	☐ Y ☐ N ☐ NA
17. If a parent contests temporary custody, did the court conduct a **review of temporary custody**? If so, use the Review of Temporary Custody Tool as well. Rule 334(c)(3) **(PPH6)**	☐ Y ☐ N ☐ NA

Settlement Conference

Settlement Conference	**Date**	**JO**
	1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. At the conclusion of a settlement conference: A. If admission/no contest, did **court hold ADJ and set/conduct DIS**? Rule 336(d)(1) B. If the parties could not reach agreement, did the court **set the date for ADJ**? Rule 336(d)(2)	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA

2.	Did the court in open court address the parent of consequences of failure to attend PTC or ADJ without good cause and participate in reunification services can result in finding parent has waived rights and may result in termination or permanent guardianship? Rule 336(e)	☐ Y ☐ N ☐ NA
3.	If **ICWA** applies, did 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 336(f)	☐ Y ☐ N ☐ NA

Pre Trial Conference

Date	**JO**
1st Continued Date	**# of Continuances**
Scheduled Time:	**Start Time:**

Parties Present at this Hearing

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/.	☐ Tribal Atty	☐ Family Present	☐ Other

1.	Regarding the plea:	
A.	If admission/no contest, did court **conduct the ADJ & set or conduct DIS**? Rule 337(d)	☐ Y ☐ N ☐ NA
B.	If **agreement not reached**, did the court set ADJ? Rule 337(g)	☐ Y ☐ N ☐ NA
C.	If court finds that the **parent failed to appear without good cause shown**, had notice, 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 337(e)	☐ Y ☐ N ☐ NA
2.	Did the court provide a copy of Form 1 and request the parent sign and return the form to court ensuring parent(s) understands their rights, responsibilities, future court dates and the consequences of failing to appear and participate in reunification services? Rule 337(h)	☐ Y ☐ N ☐ 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 337(f)	☐ Y ☐ N ☐ NA

Adjudication Hearing

Date	**JO**
1st Continued Date	**# of Continuances**
Scheduled Time:	**Start Time:**

Parties Present at this Hearing

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/l	☐ Tribal Atty	☐ Family Present	☐ Other

1.	If contested, did the court **hold a settlement, pretrial conference or mediation** prior to adjudication? ARS 8-844(A)	☐ Y ☐ N ☐ NA
2.	**Was the hearing:**	
A.	**Completed no later than 90 days after service of the dependency petition? Rule 338(b)(1)**	☐ **Y** ☐ **N** ☐ **NA**
B.	**If continued beyond time prescribed by A.R.S. 8-842(C) for 30 days on a showing of good cause, and for a longer period upon a finding of extraordinary circumstances; court must state in writing a factual basis for extending time based on extraordinary circumstances? Rule 338(b)(2)**	☐ **Y** ☐ **N** ☐ **NA**
3.	**If admission / no contest, did the court determine whether:**	
A.	**The party understands the rights being waived** ***(PPH13, IDH9)***	☐ **Y** ☐ **N** ☐ **NA**
B.	**The admission/no contest made knowingly, intelligently and voluntarily;** ***(PPH13, IDH9)***	☐ **Y** ☐ **N** ☐ **NA**
C.	**A factual basis exists to support a finding of dependency? Rule 338(d)(1-3)**	☐ **Y** ☐ **N** ☐ **NA**
4.	If parent failed to **appear without good cause** did the court find they had notice, were properly served and was previously admonished? Rule 338(e)(1-3) ***(PTC1C)***	☐ Y ☐ N ☐ 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;** ***(PPH22, IDH12B)***	☐ **Y** ☐ **N** ☐ **NA**
B.	**Factual basis for dependency;**	☐ **Y** ☐ **N** ☐ **NA**

C. That the child was dependent? ARS 8-844(C)(1)(a), Rule 338(h)(1,4)	☐ **Y** ☐ **N** ☐ **NA**
6. If the child was found to be dependent, did the court enter **orders** pending disposition regarding: A**. placement** (***PPH15)*** B. **custody**? Rule 338(h)(5)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
7. If the allegations not found true by a preponderance of the evidence, did the court **dismiss** the dependency **petition**? ARS 8-844(C)(2), Rule 338(h)(2)	☐ Y ☐ N ☐ NA
8. Did the court conduct a **disposition hearing** or set it within 30 days? Rule 338(h)(7)	☐ Y ☐ N ☐ NA
9. 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? ARS 8-815(B), Rule 338(h)(6) • Did the court find, by clear and convincing evidence supported by the testimony of a QEW, that the parents continue custody of the child is likely to result in serious emotional or physical damage to the child? 25 USC 1912(d)(e) Rule 338(c)(2) • Did the court find that active efforts were made to provide remedial services and rehabilitative programs designed to prevent the breakup of the Indian family, but those services were unsuccessful? 25 USC 1912(d)(e) Rule 338(c)(2) ***(PPH2B, IDH4C, PTC3)***	☐ Y ☐ N ☐ NA
10. Did the court make specific findings that it advised the parent of the **consequences** of failure **to attend subsequent proceedings** and **participate in reunification** services? Rule 338(h)(8) ***(PPH12, IDH14, PTC2, SET2)***	☐ Y ☐ N ☐ NA

Disposition Hearing

	Date	**JO**
	1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. Was the hearing held no later than 30 days after adjudication hearing? Rule 339(b)	☐ **Y** ☐ **N** ☐ **NA**
2. Did the court determine the appropriate case plan? Rule 339(c) ARS 8-845(C)	☐ **Y** ☐ **N** ☐ **NA**
3. Did the court enter orders on: **A. placement** ***(PPH15, ADJ6)*** **B. custody of the child? Rule 339(d)(3)** ***(ADJ6)***	 ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA**
4. If **no reunification services to be provided**, did the court state that it found by clear and convincing evidence one or more of the following: ARS 8-846(D) • Reasonable search had failed to **locate parent**; • Parent's mental illness of such magnitude they would **not benefit from reunification** efforts; • Child previously removed/adj **dependent twice for physical/sexual abuse** w/in last 18 mos; • Parent conspired or **convicted of murder/manslaughter** of another of their children; • Child suffered **serious physical/emotional injury**; • Parent's rights to another **child terminated** and parent has not addressed relevant issues; • 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 **unable to discharge parental responsibilities**? • The parent or guardian has been **convicted** of aiding or abetting or attempting, conspiring, or soliciting to commit any of the **crimes listed above**.	☐ Y ☐ N ☐ NA
5. If no reunification, **court ordered** plan of adoption, **other permanent plan** or concurrent plan? ARS 8-845(C)	☐ Y ☐ N ☐ NA
6. If reunification efforts to continue, did the court **order the agency to make reasonable efforts** to provide reunification services? ARS 8-846(A) Rule 339(d)(1) (***PPH18, IDH16)***	☐ Y ☐ N ☐ NA
7. Did the court **set a review within 6 months of disposition**? Rule 339(d)(4)	☐ Y ☐ N ☐ NA
8. Did the court **set the Permanency hearing**? Rule 339(d)(4)	☐ Y ☐ N ☐ NA

9. Did the court advise the parties present at the hearing and those identified in Rule 341(b)(1) of their **right to participate in periodic review** hearings? Rule 339(d)(5)	☐ Y ☐ N ☐ NA
10. Did the court address the parent in open court of consequences or failure to attend further proceedings without good cause or to participate in reunification services may result in termination of parental rights or a permanent guardianship; and understands consequences? Rule 339(e) ***(ADJ10)***	☐ Y ☐ N ☐ NA
11. 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 339(d)(6) (***PPH2, IDH4, PTC3, SET3, ADJ9)***	☐ Y ☐ N ☐ NA

Review Hearing

Date	**JO**
1st Continued Date	**# of Continuances**
Scheduled Time:	**Start Time:**

Parties Present at this Hearing

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. Are periodic reviews occurring at least once every six months? ARS 8-847(A) Rule 341(a)	☐ **Y** ☐ **N** ☐ **NA**
2. Did the court address the **recommendations of FCRB** on the record? Rule 341(e)(3)	☐ Y ☐ N ☐ NA
3. Did the court determine whether the **department has identified and assessed placement** of the child with a **relative** or person who has a **significant relationship** with the child? ARS 8-847(E)(1), Rule 341(f)(2)(B)	☐ Y ☐ N ☐ NA
4. Did the court make the finding of fact that child continue to be dependent? Rule 341(f)(1)(B)	☐ **Y** ☐ **N** ☐ **NA**
5. If continued **dependent**, did the court enter/reaffirm **orders** regarding:	
A. **legal custody**;	☐ Y ☐ N ☐ NA
B. **placement**;	☐ Y ☐ N ☐ NA
C. **services;** Rule 341(f)(2)(A)(ii)	☐ Y ☐ N ☐ NA
D. educational needs? Rule 341(f)(2)(A)(i)	☐ Y ☐ N ☐ NA
6. Did the court **set a review hearing** within six months? Rule 341(f)(2)(D)	☐ Y ☐ N ☐ NA
7. Did the court:	
A. **Set a Permanency Hearing** not more than **12** months from removal? Rule 341(f)(2)(E)	☐ Y ☐ N ☐ NA
B. **Set a Permanency Hearing** not more than **6** months from removal for child under 3 years? Rule 343(b)(2)	☐ Y ☐ N ☐ NA
8. Did the court address and advise the parent in open court of the **consequences** of failure to **attend subsequent proceedings** and participate in reunification services? Rule 341(f)(2)(F)	☐ Y ☐ N ☐ NA
9. 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? ARS 8-815, Rule 341(f)(2)(G)	☐ Y ☐ N ☐ NA
10. If the court found the child(ren) not to be dependent, did the court **dismiss the petition** and return the child to the parent? Rule 341(f)(1)(A)	☐ Y ☐ N ☐ NA
11. **At the first periodic review hearing**, did the court consider whether a parent of a **child under 3 years of age at the time of removal** substantially neglected or willfully refused to participate in reunification services offered by DCS. Rule 341(e)(5)	☐ Y ☐ N ☐ NA
QRTP placement	
12. In a signed minute entry or order, did the court determine: Rule 335 (d)(3)	
A. The child's needs cannot be met by parents, family, kinship care including persons with significant relationship with child or foster home with support services?	☐ Y ☐ N ☐ NA
B. The child is not placed in QRTP due to lack or shortage of family home?	☐ Y ☐ N ☐ NA
C. QRTP provides the most effective and appropriate level of care in least restrictive environment?	☐ Y ☐ N ☐ NA

D. Placement is consistent with the child's permanency plan? E. If there is reason to know the child is an Indian child, the placement complies with the standards of Rule 321?	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
13. Did the court enter the following orders: Rule 335 (d)(4) A. Approve or disapprove the child's placement in QRTP. B. If child's placement is approved, set a continuing review of QRTP placement. C. If QRTP placement is not approved, order DCS to investigate alternate placements and set further hearing, if necessary. D. If in child's best interest, provide contact with siblings and other family members, if consistent with permanent treatment plan.	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
14. **If child's placement in QRTP is longer than 60 days, complete the following:** A. Did the court make the following in a signed minute entry or order: Rule 335(e)(2) B. Ongoing assessment continues to support determination that child's needs cannot be met outside QRTP, C. The specific treatment or service that the child needs is being provided, D. The length of time the child is expected to need additional treatment, E. Efforts made to transition the child to parents, kinship care or person with significant relationship, legal guardian or an adoptive home, foster family home.	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA

Permanency Hearing	**Date**	**JO**
	1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM	☐ Tribal Atty	☐ Family Present	☐ Other

1. The hearing was held: **A. within 30 days of Disposition if no reunification ordered; ARS 8-862(A)(1) Rule 343(b)(1)** **B. within six months if the child is under three years old; ARS 8-862(A)(2), Rule 343(b)(2)** **C. within 12 months after removal? ARS 8-862(A)(3), Rule 343(b)(3)**	☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA**
2. Did the court: **A. Determine the appropriate permanent plan for the child?** **B. Order that the plan be accomplished within a certain time frame? ARS 8-862(B)(1), Rule 343(d)(1)**	☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA**
3. Did the court set a review *or permanency hearing* within six months? Rule 343(d)(2)	☐ Y ☐ N ☐ NA
4. If **termination or guardianship** is determined to be the permanent plan, did the court: A. **Order the petition be filed within ten days**; ARS 8-862 (D)(1) (F)(1), Rule 343(d)(3) B. **Set the Initial Termination/Guardianship Hearing** within 30 days? ARS 8-862 (D)(2) (F)(2)	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
5. Did the court address and advise the parent, in open court of the **consequences** of failure to **attend subsequent proceedings** and participate in reunification services? Rule 343(d)(4) **(REV8)**	☐ Y ☐ N ☐ NA
6. If **ICWA** applies, did court make **findings** pursuant to the ICWA, including whether placement of the Indian child is in accordance with Section 1915 or whether there is good cause to deviate from the preferences? ARS 8-815, Rule 343(d)(5) **(REV9)**	☐ Y ☐ N ☐ NA
7. If the child is in an out-of-home placement, did the court make a finding as to whether the placement continues to be appropriate and, in the child's, best interest? Rule 343(d)(6)	☐ Y ☐ N ☐ NA
8. Did the court: **A. Determine whether reasonable efforts were made to finalize plan? ARS 8-862(B)(2)** **B. Set forth the factual basis for this determination? ARS 8-829(C)**	☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA**
QRTP placement	
9. In a signed minute entry or order, did the court determine: Rule 335 (d)(3) A. The child's needs cannot be met by parents, family, kinship care including persons with significant relationship with child or foster home with support services? B. The child is not placed in QRTP due to lack or shortage of family home? C. QRTP provides the most effective and appropriate level of care in least restrictive environment?	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA

D. Placement is consistent with the child's permanency plan? E. If there is reason to know the child is an Indian child, the placement complies with the standards of Rule 321?	☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
10. Did the court enter the following orders: Rule 335 (d)(4) A. Approve or disapprove the child's placement in QRTP. B. If child's placement is approved, set a continuing review of QRTP placement. C. If QRTP placement is not approved, order DCS to investigate alternate placements and set further hearing, if necessary. D. If in child's best interest, provide contact with siblings and other family members, if consistent with permanent treatment plan.	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
If child's placement in QRTP is longer than 60 days, complete the following.	
Did the court make the following in a signed minute entry or order: Rule 335 (e)(2) A. Ongoing assessment continues to support determination that child's needs cannot be met outside QRTP. B. The specific treatment or service that the child needs is being provided. C. The length of time the child is expected to need additional treatment. D. Efforts made to transition the child to parents, kinship care or person with significant relationship, legal guardian or an adoptive home, foster family home.	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA

Initial Guardianship Hearing

	Date	**JO**
	1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. Held within thirty days of permanency hearing or if no permanency hearing held, then no later than 30 days after filing motion for permanent guardianship? Rule 345(b)	☐ **Y** ☐ **N** ☐ **NA**
2. Did the court appoint counsel (unless otherwise appointed)? ARS 8-872(E), Rule 345(c)(2)	☐ Y ☐ N ☐ NA
3. Did the court determine whether service completed or waived and parties noticed? Rule 345(c)(4)	☐ **Y** ☐ **N** ☐ **NA**
4. Did the court **advise** the parent **of rights** to counsel, to cross examine witnesses, trial and to compel attendance of witnesses? Rule 345(c)(6)(A-D)	☐ Y ☐ N ☐ 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 345(c)(7)	☐ **Y** ☐ **N** ☐ **NA**
6. If admitted/not contested, did court **proceed with Guardianship Hearing**? Rule 345(c)(7)(A)	☐ Y ☐ N ☐ NA
7. If denied, did the court **set the matter for trial,** which must begin no later than 90 days after the initial guardianship hearing? ARS 8-872 (D) Rule 345(c)(7)(B)	☐ Y ☐ N ☐ NA
8. If the **parent failed to appear**, did the court find that they: Rule 345(f)(1)(A-C) A. Had **notice** of hearing; B. Were **properly served**; C. Were previously **admonished regarding the consequences** of their failure to appear?	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
9. Did the court enter findings as to **notification, service and jurisdiction**? Rule 345(d)(1)	☐ Y ☐ N ☐ NA
10. **Set a continued initial guardianship** hearing for those not served/appearing? Rule 345(d)(2)	☐ Y ☐ N ☐ NA
11. Did the court: A. **Inquire** regarding the **ICWA**? ARS 8-815 (if ICWA case-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 345(d)(5)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
12. Did the court address parent in open court that **failure to appear** at the guardianship pre-trial conference, settlement conference or guardianship adjudication hearing, **without good cause shown,**	☐ Y ☐ N ☐ NA

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 345(d)(3)(4)	

Guardianship Adjudication Hearing	**Date**	**JO**
	1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. Was this hearing: **A. Begun no later than 90 days after filing of a motion permanent guardianship? Rule 346(b)(1)** **B. Continued no more than 30 days beyond 90-day limit and if continuance is necessary for full, fair, proper presentation of evidence, and best interest of child not adversely affected? Rule 346(b)(2)** **C. If continued a longer period, court made written findings of extraordinary circumstances with factual basis? Rule 346(b)(3)**	 ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **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 or no contest was **done knowingly, intelligently and voluntarily**; C. A **factual basis existed** to support guardianship. Rule 346(d)(1-3)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
3. If the parent **failed to appear**, did the court find that they: A. Had **notice** of the hearing; ***(IGU8)*** B. Was properly **served**; ***(IGU8)*** C. Was **admonished re consequences** of no attendance? Rule 346(e)(1) ***(IGU8)***	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
4. Did the court make finding as to its jurisdiction over matter / persons before it? Rule 346(g)(1)	☐ Y ☐ N ☐ 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(J), Rule 346(g)(2)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ 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 he**aring, establish a revised permanency plan? Rule 346(g)(4)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ 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 346(g)(3) ***(IGU11)*** A. the court must find beyond a reasonable doubt, including testimony of a QEW, that the parent's continued custody of the child is likely to result in serious emotional or physical damage to the child. B. The court must find that active efforts were made to provide remedial services and rehabilitative programs to present the breakup of the Indian family but were unsuccessful. 25 USC 1912(D), (E); Rule 346(g)(3).	☐ Y ☐ N ☐ NA
8. Did the court ask about the child's position regarding appointment of a guardian? Rule 346(f)	☐ Y ☐ N ☐ NA

Initial Successor Guardianship Hearing	Date	JO
	1st Continued Date	# of Continuances
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/.	☐ Tribal Atty	☐ Family Present	☐ Other

1. Did the court, pursuant to ARS 8-874(C): A. Set a date for an Initial Guardianship Review Hearing within 30 days after motion is filed? B. Appoint attorney for child and proposed successor guardian (if necessary)?	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
2. Did the court determine whether s**ervice** has been completed as ordered? Rule 348(a)	☐ Y ☐ N ☐ NA
3. At hearing, did the **court**: A. Determine whether **notice** of the hearing has been provided to those persons identified in A.R.S. § 8-874(D) Rule 348(c)(2) B. Inquire if any party has reason to know that child at issue is subject to **ICWA;** Rule 348(c)(1) C. Inquire and find whether placement with the successor guardian falls within ICWA's placement preferences or there is good cause to deviate? 25 USC 1915(b)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
4. Did the **court find**: A. Movant **met burden of proof** that proposed successor guardian is suitable to assume responsibilities of permanent guardian and appointment would be in the child's best interest? Rule 348(e) 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 **appoint the proposed successor permanent guardian** as permanent guardian of the child? Rule 348(e)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
5. If successor permanent guardian was appointed, did the court **set a review hearing** within one year after the appointment? Rule 348(f)	☐ Y ☐ N ☐ NA
6. Did the court inquire of the child's position regarding appointment of a guardian? Rule 346(f)	☐ Y ☐ N ☐ NA

Initial Termination Hearing	Date	JO
	1st Continued Date	# of Continuances
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/	☐ Tribal Atty	☐ Family Present	☐ Other

1. Was the hearing held: **A. If MOTION for termination is filed, no later than thirty days after permanency hearing; ARS 8-862(D)(2), Rule 352(b)(2)** **B. If PETITION for termination is filed, no fewer than 10 days after completion of service? ARS 8-535(B), Rule 352(b)(1)**	 ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA**
2. Did the court **appoint parent counsel** (unless otherwise appointed)? Rule 352(c)(2)	☐ Y ☐ N ☐ NA
3. Did the court **appoint child counsel** (if a GAL has not been appointed)? Rule 352(c)(3)	☐ Y ☐ N ☐ NA
4. Did the court determine whether service completed or waived? Rule 352(c)(4)	☐ **Y** ☐ **N** ☐ **NA**
5. Did the **court advise parent** of their **rights** to: • **Counsel**, including court appointed counsel if parent is indigent. • To cross **examine all witnesses** who are called to testify against the parent; • **Trial** by court on the termination motion or petition; and • Use the process of the court to **compel the attendance of witnesses**? Rule 352(c)(5)	☐ Y ☐ N ☐ NA
6. Did the court **determine** parent's **plea** as to the allegations in the motion/petition for TPR? Rule 352(c)(6)	☐ Y ☐ N ☐ NA
7. If **admit/no contest**, did court proceed with Termination Adjudication and enter findings and orders pursuant to Rule 351? Rule 352(c)(6)(A)	☐ Y ☐ N ☐ NA
8. If **parent denies alleg**ations in termination motion or petition, did the court **set the trial no later than**	☐ Y ☐ N ☐ NA

ninety days after the permanency hearing? Rule 352(c)(6)(B)	
9. If the **parent failed to appear**, without good case, 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 352(f)(1)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ 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 352(d)(1)	☐ Y ☐ N ☐ NA
11. Did the court **set continued hearing** for party not served and not appearing? Rule 352(d)(2)	☐ Y ☐ N ☐ 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? • Advise parent that **termination hearing may go forward in their absence** and may result in the termination of parent rights based upon the record and evidence presented? Rule 352(d)(3)	☐ Y ☐ N ☐ NA
13. Did the court inquire regarding and, if applicable, make **findings** pursuant to the **ICWA**, 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 352(d)(5)	☐ Y ☐ N ☐ NA

Termination Adjudication Hearing	**Date**	**JO**
	1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/.	☐ Tribal Atty	☐ Family Present	☐ Other

1. Did the court: **A. Hold the hearing no later than 90 days after the permanency hearing; Rule 353(b)(1)** **B. Continue no more than 30 days beyond 90-day limit; Rule 353(b)(2)** **C. If continued beyond 30 days, did the court make written findings of extraordinary circumstances with factual basis? Rule 353(b)(3)**	 ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA**
2. In accepting the parent(s) **admission or plea of no contest**, did the court determine whether: A. The party **understands the rights** being waived; **Rule 353(e)(1)** B. No contest **plea made knowingly, intelligently and voluntarily**; **Rule 353(e)(2)** C. A **factual basis** existed to support termination? Rule 353(e)(3)	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
3. If **parent failed to appear, without good cause** shown, did the court find that the parent: A. **Had notice** of hearing; Rule 353(f)(1)(A) **(ITE9)** B. Was properly **served**; Rule 353(f)(1)(B) **(ITE9)** 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 based upon the record and evidence presented? Rule 353(f)(1)(C) **(ITE9)**	 ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA ☐ Y ☐ N ☐ NA
4. Did the court find **jurisdiction** over matter/persons before it? Rule 353(h)(1) **(ITE10)**	☐ Y ☐ N ☐ NA
5. If the petitioner or moving party has met its burden of proof, did the court: **A. Make specific findings of fact in support of termination and granted the motion for termination of parental rights; Rule 353(h)(2)(A)** **B. Appoint a guardian for the child or appoint a guardian for the child and vest legal custody in another person or authorized agency; Rule 353(h)(2)(B)** **C. Enter orders for financial support of the child; Rule 353(h)(2)(C)** **D. Set or reaffirm the dependency review hearing; Rule 353(h)(2)(E)**	 ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA** ☐ **Y** ☐ **N** ☐ **NA**

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 353(h)(2)(D) • **The court must find beyond a reasonable doubt, including testimony of a QEW, that the parent's continued custody of the child is likely to result in serious emotional or physical damage to the child.** • **The court must also find that active efforts were made to provide remedial services and rehabilitative programs designed to present the breakup of the Indian family but were unsuccessful. 25 USC 1912(d), (e); Rule 353(d)**	☐ **Y** ☐ **N** ☐ **NA**
6. 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 353(h)(4)	☐ Y ☐ N ☐ NA

Permanency Findings

	Date	**JO**
	1st Continued Date	**# of Continuances**
Parties Present at this Hearing	**Scheduled Time:**	**Start Time:**

☐ Mother	☐ Mother Atty	☐ Father	☐ Father Atty	☐ Child	☐ Child Atty
☐ Case Manger	☐ AAG	☐ CASA	☐ Foster Caregiver	☐ Relative Caregiver	☐ Service Provider
☐ Guardian	☐ Guardian Atty	☐ Tribal SW/CM/I	☐ Tribal Atty	☐ Family Present	☐ Other

1. If DCS is required to file or join a termination petition because the child has been in foster care for 15 of the last 22 months, but has not done so or has expressed an intention not to file, did the court state whether: • The child is placed with a relative. 42 U.S.C. § 675 (5) (E) (i) • The agency has documented in the case plan a compelling reason for determining that filing such a petition would not be in the best interests of the child. 42 U.S.C. § 675 (5) (E) (ii) • If reasonable efforts are required, the agency has not provided to the family of the child such services as the agency deems necessary for the child's safe return. 42 U.S.C. § 675 (5) (E) (iii)	☐ Y ☐ N ☐ NA

Arizona Court Improvement
Reference Guide for Courtroom Observation Tool

Administration	
Date	Date that the hearing is being held
JD	Court case number
Reviewer	Reviewer completing the observation
County	County in which court is located
JO	Number representing Judicial Officer presiding over the hearing
Scheduled Time	Time the hearing was scheduled to begin
Start Time	Time the hearing began
End Time	Time the hearing concluded
Next Hearing Timely	Whether the date of the next hearing is within the required time frame
Time to set next hearing	Time (in minutes) taken to set the next hearing date and time
Hearing Type	Type of hearing
Delay	Whether the hearing start time was delayed and, if so, the reason for the delay

Attendance	
Mother	Biological or adoptive mother
Father	Biological or adoptive father of one or more of the children
Child	Child who is the subject of the hearing
Case Specialist	Child welfare worker
Tribal Rep	Tribal representative, often a Tribal social worker
Guardian	Legal guardian for the child
Attorney	Attorney for each of the preceding participants
JPO	Juvenile Probation Officer
Foster Parent	Non-family caregiver
Relative Caregiver	Caregiver related to the child (includes "kinship" caregiver)
Family	Relative who is not the caregiver
Service Provider	Individual or representative from agency providing (or who will provide) treatment or services for a party to the case (e.g. case aide, counselor from substance abuse treatment program, etc.)
CASA	Court Appointed Special Advocate (Advocate)
Interpreter	Individual provided by the court for translation
Community Coordinator	Individual provided by the court to work with parties to facilitate understanding of dependency process and completion of services
Parent Support	Individual provided by the court to work with parents to encourage earlier and improved participation in the case process
Court Staff	Court Staff
Other	Individual(s) not already defined
GAL – CH	Child's Guardian Ad Litem

All Hearings – Documentation	
1. DCS reports submitted timely	DCS report provided to the court 15 days prior to the hearing
2. ICWA – Applicability	JO inquires whether any party has reason to know that the child is subject to the ICWA

3. ICWA – Caregiver Preferences	JO determines whether the caregiver is in accordance with the ICWA caregiver preferences of if there is good cause to deviate
4. ICWA – Active Efforts	JO finds that active efforts have been made to provide remedial services and rehabilitative programs designed to prevent the breakup of the Indian family and these efforts were unsuccessful
5. ICWA – Qualified expert witness, serious emotional or physical damage	JO finds by clear and convincing evidence, including the testimony from a qualified expert witness, that continued custody of the child by the parent is likely to result in serious emotional or physical damage to the child
6. Walk away orders	Parties receive a copy of the orders issued at the hearing

All Hearings – Engagement[1]: Did the Judge	
1. Explain the hearing purpose	Explain to parents the nature of the current hearing and what will occur
2. Speak directly to the person	Address the parent, direct questions to the parent
3. Call them by name	Address the party and, if speaking about them, use their name
4. Use understandable language	Use everyday language to explain processes and answer questions parties may have
5. Provide opportunity to be heard	Ask parties if there are any questions for the court

All Hearings – Engagement: Did the Attorney	
1. Call them by name	Address the party and, if speaking about them, uses their name
2. Refer to findings/orders from this hearing	Recommend findings/orders consistent with role as client advocate
3. Refer to report(s) other than that of DCS	Refer to reports from services/events including medical and behavioral health evaluations, urinalyses, visitation, etc.
4. Refer to other meetings (CFT, TDM etc.)	Address activities occurring outside of court and how they relate to client's needs
5. Advocate for services, visitation, caregiver	Actively advocate for client related needs and/or requests

All Hearings – Attorney Requirements (Child): Did the Attorney	
1. Meet with child	Meet with child before PPH, or if not possible within 14 days. Meet with child before each substantive hearing or upon a showing of extraordinary circumstances the court can modify this requirement. Rule 306(d)
2. Substitute judgement	Informing the court if substitute judgement is being used pursuant to Rule 306(a)(1)(C)

[1] See *Enhanced Resource Guidelines: Improving Court Practice in Child Abuse and Neglect Cases*; page 68 – Engaging Families and Children; National Council of Juvenile and Family Court Judges.

All Hearings – Attorney Requirements (Child): Did the Attorney	
3. Child's presence	Informed the child of the right to be present and speak with the judge, and if the child is not present, provided an explanation for the child's absence. Rule 306(b)and(d)
4. Position on permanency goal	Obtain the child's position on reunification or another permanency goal if the factors detailed in 8-846(D) apply
5. QRTP placement	Discuss and obtain child's position on QRTP placement pursuant to Rule 335(d)(2)(C)(ii)
6. Placement and related hearing(s) if child hospitalized	Discuss placement and related hearings and obtain child's position pursuant to 8-272 if the child is hospitalized in an acute psychiatric care facility
7. Permanency plan/alternatives	Discuss the permanency goal and other permanency options and obtain the child's position
8. Child's position on 8-547 when requirements are met	Discussed with the child and bring to the court's attention when the requirements of 8-547 are relevant

All Hearings – Attorney Requirements (Parent): Did the Attorney	
1. Meet with client	Communicate with client prior to PPH or as soon thereafter as possible. Communicate with parent before subsequent hearings. Rule 307(a)
2. Exchange contact information	Obtain client contact information and provide attorney contact information to the client. Establish procedures for regular communications with the parent and respond to the parent's communications. Rule 307(a)
3. Explain dependency process	Review the allegations of the dependency petition and explain to the parent the nature of the proceedings including terminology, timelines, courtroom protocol, the parent's legal rights in the dependency action, various parties and participants associated with the action, ways that the parent can affect case outcomes, consequences of the parent not attending hearings, and possible consequences of being placed on the DCS Central Registry. The attorney must also explain the court's orders and the case plan. Rule 307(c)
4. Explain temp custody hearing and present evidence	Explain temporary custody hearing and present evidence during the hearing. Rule 307(d), Rule 333(c)(3)
5. Advocate for timelines to be met	Advocate for hearings to be held within timeframe of relevant statute/rule.
6. Review change of plea	Explain consequences of adjudication and legal rights that are waived. Rule 307(c)
7. Explain consequences of ADJ	Explain the consequences of adjudication including possible consequences of being placed on the DCS Central Registry. Rule 307(c)
8. Remind client of upcoming hearings	Remind the client of upcoming hearings, whether in person or virtual, and provide link timely if applicable.

All Hearings – Attorney Requirements (Parent): Did the Attorney	
9. Discuss permanency plan/options	Discuss permanency plan and alternative permanency goals and obtain parent position

All Hearings – Safety, Well Being: The following were addressed	
1. Child's caregiver	Caregiver stability, prospective family caregiver, child's progress with the current caregiver, caregiver needs, etc.
2. Child's educational needs	School transfers, attendance, grades/proficiency, behavior at school, individual functioning as educational advocate, etc.
3. Child's physical needs	Services in place to promote the child's physical health
4. Child's mental health	Emotional or behavioral problems, psychological assessment/evaluation, timely behavioral health services, etc.
5. Normalcy for child	Involvement in developmentally appropriate activities, extracurricular events, typical peer relationships, etc.
6. Safety threats[2]	Identification of specific threats of danger within the family from which the parents were unable to protect the child at the time of removal
7. Protective capacities	Parent's strengths and deficiencies around cognitive, behavioral, and emotional protective capacities
8. Child's vulnerability to safety threats	Degree to which the child is able to protect himself/herself from safety threats
9. Conditions for return	Conditions for return are the benchmarks for reunification. These benchmarks should guide service provision, provide clarity for caregivers, and help all parties focus on whether *safety* can be achieved in the home, not whether all treatment programs have been completed or treatment goals have been accomplished. Knowing why an in-home safety plan could not work at the time of removal suggests what circumstances must change in order for the child to return home with an in-home safety plan. Conditions for return should be based on what is needed for the child to be safe with a sufficient, feasible and sustainable in-home safety plan.
10. Visitation with parent(s)	Details regarding child's visits with parents, including the potential for changes in the visitation schedule
11. Visitation with sibling(s)	Details regarding child's visits with sibling(s), including the potential for changes in the visitation schedule
12. Efforts to reunify	Details regarding DCS' efforts to implement the case plan of family reunification
13. Efforts to identify family	Details regarding DCS's efforts to identify family members as prospective caregivers and/or supports for the child

PPH / IDH – The following were addressed	
1. Review of the petition	Details regarding allegations contained in the petition, including clear language regarding the threat(s) to the child's safety

[2] See *Child Safety: A Guide for Judges and Attorneys*, American Bar Association.

PPH / IDH – The following were addressed	
2. Paternity	Whether paternity has been legally established and, if not, identifying action to be initiated to determine paternity, asking parties about their knowledge of paternity, addressing efforts to identify and locate father and/or paternal family members
3. Relative resources	Identified specific support that could be provided by relative(s) for child(ren) and parent(s)
4. Parents' rights, permanency time frames	Details regarding the parent's rights and the time frames associated with the progress of the case toward permanency

PPH / IDH – Entered findings as to	
1. Notification and service	Whether the parties received notice of the hearing and whether service of the petition was complete
2. Whether contrary to remain in the home	Whether continuation in the home would be contrary to the best interests of the child
3. Reasonable efforts to prevent removal	Whether the agency made reasonable efforts to prevent the removal of the child
4. Factual basis for reasonable efforts	Detailed efforts made by the agency to prevent the removal of the child

ADJ – The following were addressed	
1. Allegations regarding the mother	Details regarding the allegations from the petition that have been proved or admitted
2. Allegations regarding the father	Details regarding the allegations from the petition that have been proved or admitted
3. Legal basis for continued court intervention	Details regarding the burden of proof, the continued need for intervention, and the court's continued jurisdiction

DIS – The following were addressed	
1. Case plan for the child	Elements of the case plan related to the child, including elements that address the child's well-being
2. Case plan for the parents	Elements of the case plan related to the parent, including clear descriptions of how the parent(s) should address the safety threats already identified as the reason for the child's removal
3. Culturally informed services	Services being offered that have been proven to be effective for families with similar issues and characteristics

REV / PER – The following were addressed	
1. Progress with case plan	Specific efforts made by parties to finalize the permanency goal
2. Adequacy of case plan	If permanency has still not been established, identified steps necessary to successfully complete the case plan goal
3. Permanency Goal	Identified the permanency goal and the time to achieve the goal

REV / PER – The following were addressed	
4. If goal is not TPR, compelling reasons	Detailed discussion of why TPR is not the appropriate case plan for the child
5. If goal is APPLA, rule out other plans	Reasonable efforts inquires focus on finding another permanent plan; discuss other plans and why they are not best for child

REV / PER – Entered findings as to	
1. Reasonable efforts to finalize permanency plan	Whether the agency made reasonable efforts to finalize the permanency plan
2. Factual basis for reasonable efforts	Detailed efforts made by the agency to finalize the permanency plan

Arizona Court Improvement – Courtroom Observation Tool

ADMINISTRATION

Date:	JD:	Reviewer:	County:	JO:
Scheduled Time:	Start Time:	End Time:	Next Hearing Timely: Y N NA	Time taken to set next hearing: _______minutes

Hearing Type:

Preliminary Protective/Initial Dependency — Adjudication: — Disposition — Review / Permanency

Delay? Y N (choose reason for delay) — Attorney — Case Specialist — Parent — Court Calendar — Other

ATTENDANCE

Mother Y N NA	Father Y N NA	Child Y N NA	Case Specialist Y N NA	Tribal Rep Y N NA	Guardian Y N NA	Foster Parent Y N NA	Rel. Caregiver Y N NA	CASA Y N NA
Attorney Y N NA	Attorney Y N NA	Attorney Y N NA	Attorney Y N NA	Attorney Y N NA	Attorney Y N NA	Family Y N NA	Service Provider Y N NA	JPO Y N NA
Interpreter Y N NA	Comm. Coordinator Y N NA	GAL - CH Y N NA	Other Y N NA	Parent Support Y N NA	Court Staff Y N NA			

ALL HEARINGS

Documentation			
1. DCS reports submitted timely (15 days prior)	Y N NA	4. ICWA – Active Efforts	Y N NA
2. ICWA – Applicability	Y N NA	5. ICWA – QEW, serious emotional, physical damage	Y N NA
3. ICWA – Caregiver preferences	Y N NA	6. Walk Away orders	Y N NA

Judicial Engagement	Parent	Child	Caregiver
1. Explain the hearing purpose	Y N NA	Y N NA	Y N NA
2. Speak directly to the person	Y N NA	Y N NA	Y N NA
3. Call them by name	Y N NA	Y N NA	Y N NA
4. Use understandable language	Y N NA	Y N NA	Y N NA
5. Provide opportunity to be heard	Y N NA	Y N NA	Y N NA

Attorney Advocacy	Mother	Father	Child
1. Call them by name	Y N NA	Y N NA	Y N NA
2. Refer to findings/orders from this hearing	Y N NA	Y N NA	Y N NA
3. Refer to report(s) other than of DCS	Y N NA	Y N NA	Y N NA
4. Refer to other meetings (CFT, TDM, etc.)	Y N NA	Y N NA	Y N NA
5. Advocate for services, visitation, caregiver	Y N NA	Y N NA	Y N NA

Participation

Mother	Father	Child	Case Specialist	CASA
Y N NA	Y N NA	Y N NA	Y N NA	Y N NA

Attorney Requirements (Child)	
1. Meet with child	Y N NA
2. Substitute judgement	Y N NA
3. Child's presence	Y N NA
4. Position on permanency goal	Y N NA
5. QRTP placement	Y N NA
6. Placement and related hearing(s) if child hospitalized	Y N NA
7. Permanency plan/alternatives	Y N NA
8. Child's position on 8-547 when requirements met	Y N NA

Attorney Requirements (Parent)	Mother	Father
1. Meet with client	Y N NA	Y N NA
2. Exchange contact information	Y N NA	Y N NA
3. Explain dependency process	Y N NA	Y N NA
4. Explain temp custody hearing and present evidence	Y N NA	Y N NA
5. Advocate for timelines to be met	Y N NA	Y N NA
6. Review change of plea	Y N NA	Y N NA
7. Explain consequences of ADJ	Y N NA	Y N NA
8. Remind client of upcoming hearings	Y N NA	Y N NA
9. Discuss permanency plan/options	Y N NA	Y N NA

Safety, Well Being – The following were addressed:			
1. Child's caregiver	Y N NA	8. Child's vulnerability to safety threats	Y N NA
2. Child's educational needs	Y N NA	9. Conditions for return	Y N NA
3. Child's physical health	Y N NA	10. Visitation with parents(s)	Y N NA
4. Child's mental health	Y N NA	11. Visitation with sibling(s)	Y N NA
5. Normalcy for child	Y N NA	12. Efforts to reunify	Y N NA
6. Safety threats	Y N NA	13. Efforts to identify other family	Y N NA
7. Protective capacities	Y N NA		

PPH / IDH	The following were addressed:		Entered findings as to:	
	1. Review of the petition	Y N NA	1. Notification and service	Y N NA
	2. Paternity	Y N NA	2. Whether contrary to remain in the home	Y N NA
	3. Relative resources	Y N NA	3. Reasonable efforts to prevent removal	Y N NA
	4. Parent's rights, permanency time frames	Y N NA	4. Factual basis for the reasonable efforts	Y N NA

ADJ	The following were addressed:		DIS	The following were addressed:	
	1. Allegations regarding the mother	Y N NA		1. Case plan for the child – permanency plan	Y N NA
	2. Allegations regarding the father	Y N NA		2. Case plan for the parents	Y N NA
	3. Legal basis for continued court intervention	Y N NA		3. Culturally informed services	Y N NA

REV / PER	The following were addressed:		Entered findings as to:	
	1 Progress with case plan	Y N NA	1. Reasonable efforts to finalize permanency plan	Y N NA
	2 Adequacy of case plan	Y N NA	2. Factual basis for the reasonable efforts	Y N NA
	3 Permanency goal	Y N NA		
	4 If permanency goal is not TPR, compelling reasons	Y N NA		
	5 If permanency goal is APPLA, rule out other plans	Y N NA		

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 Sponsor" means an individual or organization that has been granted status to accredit their programs by the Committee on Judicial Education and Training (COJET).

"Computer security/network security training" means training addressing measures that strengthen the security of the Arizona judiciary's data, systems and network to protect confidentiality, integrity and availability of information.

"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 job functions.

"County training coordinator" means the local training coordinator designated in each county.

"Credit hour" means an increment of continuing education determined by COJET to constitute one credit toward COJET requirements. In most instances, 60 minutes of education equals one credit hour.

"Education Services" means the division of the Administrative Office of the Courts (AOC) responsible for planning and implementing education for the judiciary.

"Ethics training" means a training session related to appropriate personal behavior in the workplace, codes of conduct, fair treatment in the courts, or avoiding the occurrence or perception of impropriety in carrying out responsibilities.

"Facilitator" means a specifically trained individual who leads 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 pre-planning for one-to-one training activities with measurable educational outcomes.

"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.

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

“Judge” means any person who is authorized to perform judicial functions within the Arizona judiciary, including a justice or judge of a court of record, a justice of the peace, magistrate, water master, court commissioner, referee or pro tempore judge.

“Live training” means training or education provided by one or more faculty or facilitators to an individual or a group using real time interaction.

“Local training coordinator” means the person designated in each court or department to coordinate judicial education.

“Non-facilitated learning” means an individual study program conducted without the aid of an instructor, facilitator, or active co-participants.

“On-call” 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.

“Orientation” means knowledge, skills and ethics necessary to begin the job.

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

“Program Sponsor” means an individual, group or organization conducting continuing education for COJET credit hours.

B. Applicability. This section establishes education standards for all judges, probation and court personnel in Arizona.

C. Purpose. The education and training of judicial officers and court employees are necessary to maintain judicial independence and carry out the judicial branch’s obligation to administer justice impartially and competently. The following standards shall ensure that judges and judicial branch employees continually receive education and training necessary to achieve the highest standard of competence, ethical conduct, integrity, professionalism, and accountability.

D. Organization.

1. Director of the Administrative Office of the Courts. Under the direction of the supreme court, the administrative director of the AOC shall prepare guidelines for implementing these standards, and shall develop, administer, and coordinate judicial education programs throughout the state. The Committee on Judicial Education and Training (COJET) and Education Services shall assist the director in this effort.

2. Education Services shall:
   a. Staff COJET and its standing advisory committee meetings;
   b. Conduct judicial education and faculty development programs;
   c. Evaluate educational programs;
   d. Provide guidance to judges and judicial employees in the selection of appropriate educational opportunities;
   e. Develop a network of trainers throughout the courts; and
   f. Prepare an annual report on educational activities in the courts.

3. 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 person as the local training coordinator for continuing judicial education. The training coordinator shall accredit local programs, maintain records of compliance with education standards, provide training opportunities, and coordinate local training programs.

   The courts in counties with more than 500,000 people shall have a full-time training department supervised by a qualified employee at the supervisory or higher management level.

5. Faculty shall be selected based on subject matter expertise, faculty training, and creditability.

   a. Faculty are primarily 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 may be used when their expertise aligns with specific program goals.

   b. 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, including:
      1) Creating a dialogue with participants by encouraging their input concerning substantive areas; and
      2) Asking participants questions to evaluate their comprehension and learning.

E. Program Accreditation.

1. A program must meet the following requirements to be accredited:

   a. The program is job-related or relates to the justice system;
   b. The program constitutes an organized program of learning with significant intellectual or practical content;
   c. The program is meant to improve job-related professional competencies and skills;
   d. The program is at least 30 minutes in length or consists of related segments totaling at least 30 minutes of instruction;
   e. Participants in live training programs are given the opportunity to evaluate program effectiveness;
   f. Participants receive materials such as handouts, manuals, study guides, flowcharts, or substantial written outlines, except when writing an article or reading and evaluating a book;
   g. Breaks, non-substantive speeches, and business meetings shall not be accredited; and
   h. The program sponsor shall keep attendance records for five years and shall forward attendance records, relevant program materials and program evaluations to the party accrediting the program upon request.

2. 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:
      1) Program sponsors submit a proposal with an agenda, duration and other supporting materials if requested by the local training coordinator;
      2) Upon conclusion of a program, the program sponsor provides the training coordinator with an agenda, attendee list and compiled participant feedback from evaluations. Handouts and other written materials may also be requested by the local training coordinator; and
      3) The local training coordinator determines the program has substantive value.
   b. Individual employee programs. Training coordinators shall accredit a program attended by an individual when:
      1) Prior to the program, and at the discretion of the training coordinator, the individual submits an agenda, duration and other supporting materials;
      2) Upon conclusion of a program, the employee provides an agenda, outline and other supporting material. Handouts, evaluations or other written materials may also be requested by the local training coordinator; and
      3) The training coordinator determines the program has substantive value.
   c. Regional or statewide programs. COJET, Education Services or accredited sponsors shall accredit a program offered to participants statewide or from a broad geographical or jurisdictional area. County training coordinators or their designee may accredit programs that are countywide or that involve participants from one or more counties. This procedure eliminates the need for each local training coordinator to accredit the same program for individual participants.

3. Programs not sponsored by a court. Individuals attending education programs not sponsored by a court may be granted credit hours, with approval from a supervisor and training coordinator, if the program is applicable to their position or fosters court-related career growth.
4. Concurrent accreditation. Courses of at least two hours in duration may be accredited for more than one required area, including ethics, core curricula, and computer/network security.
5. Non-facilitated learning. With prior approval of a supervisor and prior accreditation by a training coordinator, an individual may engage in non-facilitated learning consisting of one or more of the following:
   a. Writing articles or other materials beyond the normal scope of the job position;
   b. Watching video and listening to audio programs; and
   c. Reading and evaluating a book, not to exceed one-half credit hour for every 30 pages.
6. Faculty Credit. COJET recognizes the educational mastery necessary to teach a course and values teaching by judges and court staff. An individual may receive up to eight hours of faculty credit in a calendar year in accordance with the following criteria:
   a. Credit hours may be granted to faculty at the rate of three-for-one the first time a course is taught and two-for-one the second and each consecutive time that course is taught;
   b. Credit hours may be granted to a program facilitator at the rate of two-for-one for the time spent facilitating the program;
   c. Credit hours may be granted for developing curriculum not to exceed four credit hours in a calendar year; and
   d. Faculty credit for live trainings can be used to meet the live training requirement.
7. College courses relevant to court duties may be accredited at a rate of two credit hours for each college credit hour earned. College courses directly relevant to specific job duties may be accredited for each hour of classroom attendance. Institutions offering courses or individuals taking a course may request accreditation through a written request to their local training coordinator or Education Services accompanied by an agenda, course syllabus, outline and other supporting material as requested by the accrediting body. An individual may receive up to eight credit hours in a calendar year for college courses.
8. Appeals of accreditation decisions. All appeals shall be made in writing no later than December 15 of each calendar year.
   a. Appeals of local training coordinator accreditation decisions shall be submitted in writing to Education Services. The Education Services Director shall review the request and make a determination within fifteen business days of the request.
   b. Appeals of Education Services accreditation decisions shall be submitted in writing to the COJET chair in care of the Education Services Director. The COJET chair shall review the request, contact other members of COJET at the chair's discretion, and make a determination within fifteen business days of the request.
9. Sponsor accreditation. Accredited sponsors may accredit programs they sponsor. Any person or organization with five years experience sponsoring judicial education programs may apply or be nominated to be an accredited sponsor by COJET. COJET may condition or terminate sponsor accreditation at any time.
   a. Application. The typed application shall contain the following information:

      1) Whether the applicant is a non-profit organization;

2) The approximate number of courses offered by the applicant in the preceding three years, including the location, subject matter, attendance, total hours of instruction and faculty for courses relating to the judiciary;
3) The approximate percentage of total courses offered by the applicant relating to the judiciary;
4) A description of the experience and qualifications of key faculty involved in courses related to the judiciary;
5) A list of current accreditations or certifications granted by other organizations; and
6) A statement of willingness by the applicant to comply with requirements for program accreditation and verification of attendance.

b. Nomination. Members of COJET may nominate an individual or organization to be an accredited sponsor, subject to the approval of the full committee.

F. 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 judicial education 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 medical waivers for defensive tactics courses, in accordance with ACJA § 6-107.
3. Qualifications for temporary exemption. To qualify for an exemption, an employee shall demonstrate a good faith effort to attend training prior to their request. An employee on medical or other leave may also qualify for an exemption from the core curricula and ethics training requirements.

G. Reporting Procedures.

1. Individual compliance reporting. Judges and employees shall file compliance reports with designated training coordinators in accordance with local policies and procedures.
2. Court and department reporting.
   a. The local training coordinator shall maintain records of compliance 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 a report no later than January 31 of each calendar year to Education Services using an approved reporting format. The report shall include:
      1) The number of compliant individuals;
      2) Number of non-compliant individuals, including name, department, reason for non-compliance and completed credit hours;
      3) Number of individuals exempt from compliance, including name, department, reason for exemption, completed credit hours, and duration of leave, as appropriate; and
      4) Other information as requested by Education Services.

3. County reporting. Education Services shall compile and distribute countywide reports to county superior court presiding judges for approval.
4. Statewide judicial education report. Education Services shall compile county reports into a statewide judicial education report for submission to the chief justice no later than February 28 of each year.

H. General Requirements for Compliance.

1. All full-time judges and court personnel governed by these standards shall complete at least sixteen credit hours of judicial education each year, including ethics training, computer security/network security training, and six hours of live training.
2. Full-time judges and full-time and part-time court personnel starting employment after January 1, as well as court personnel with a regular part-time schedule shall complete the requirements (including live training, ethics and computer security/network security training) according to a prorated schedule:
    a. Those starting between January 1 – March 31 or with part-time schedule of between 30 and 39 hours each week shall complete seventy-five percent of the requirements;
    b. Those starting between April 1 – June 30 or with part-time schedule of between 20 and 29 hours each week shall complete fifty percent of the requirements;
    c. Those starting between July 1 - September 30 or with a part-time schedule of less than 20 hours each week shall complete twenty-five percent of the requirements; or
    d. Those starting between October 1 – December 31 shall complete orientation and ethics as appropriate to the job position.
3. Specialized training. Judges, clerks and staff who process Orders of Protection and Injunctions Against Harassment shall attend training on such orders and injunctions on a regular basis.
4. Non-compliance. Judges not meeting requirements and without an exemption are subject to disciplinary action in accordance with the Code of Judicial Conduct. Probation and court personnel not meeting requirements and without an exemption may be subject to disciplinary action by their respective administrative authorities.

I. Requirements for Judges.

1. Educational requirements. Consistent with 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 attending judicial education programs as participants or faculty and, when reasonably able to do so, teach in judicial or legal education programs. Judges shall complete mandatory judicial education including:
    a. The general requirements specified in subsection (H) or training determined by the chief justice to meet the general requirements;
    b. Orientation as applicable to their position and jurisdiction;
    c. Attendance at the annual judicial conference unless excused through a written request approved by the chief justice; and
    d. Attendance at a program of regional or national scope at least once every three years.
2. 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) Bench books, video and audio programs, and other non-facilitated learning opportunities.

3. Appellate court judges.
   a. Orientation. A new appellate judge shall receive orientation on administrative procedures and operation and procedural and substantive law by an experienced judge of the same court before assuming office or within twelve months after appointment.
   b. Continuing education. At least every second year the chief judges of the court of appeals shall attend the annual seminar or meeting of the Council of Chief Judges of Courts of Appeals.
4. 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.
   b. Bench assignment. The presiding judge of the superior court shall determine if a superior court judge shall attend an approved program before assuming a new assignment in a specialized division.
   c. Dependency and delinquency assignments. In addition to any training programs required under section (b), a judge assuming an assignment that includes dependency cases shall complete an initial specialized dependency training program approved by COJET before or within 120 days of assuming the assignment and shall also complete an additional specialized dependency training program approved by COJET before or within one year of assuming the assignment. A judge assuming an assignment that involves delinquency cases shall complete a specialized delinquency training program approved by COJET before or within 120 days of assuming the assignment.
5. Judges of limited jurisdiction courts. Before assuming office, or within the first twelve months of assuming office, a new judge of a limited jurisdiction court shall receive orientation by an experienced judge of a limited jurisdiction court and shall begin the orientation program for judges of limited jurisdiction courts approved by COJET. The new judge must successfully complete the orientation program for judges of limited jurisdiction courts approved by COJET within eighteen months of assuming office.
6. 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 complete the same requirements as judges of the superior court;
   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 prior to or within the first twelve months of assuming duties, except that when case assignments include dependency or delinquency cases, specialized training programs must be completed pursuant to (I)(4)(c); 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, unless waived by the presiding judge of the superior court in the respective county.
   2) Full-time limited jurisdiction judges pro tempore shall complete the same requirements as limited jurisdiction judges.
   3) Part-time limited jurisdiction judges pro tempore shall complete the training approved by COJET 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 training approved by COJET.
      (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.

7. Civil traffic and small claims hearing officers. Hearing officers are officers of the court (A.R.S. §§ 22-506 and 28-1553). 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 are subject to the following requirements:
   a. All small claims hearing officers shall complete a specialized training program approved by COJET prior to or within twelve months of assuming hearing officer duties.

b. All civil traffic hearing officers must complete an initial program approved by COJET prior to assuming hearing officer duties. Civil traffic hearing officers must also complete a specialized training program approved by COJET prior to or within 12 months of assuming hearing officer duties. (Rule 6(a), Rules of Court Procedure for Civil Traffic, Boating, Marijuana, and Parking and Standing Violations).
c. Paid hearing officers shall complete the annual educational requirements for judges, but are not required to attend the annual judicial conference; and
d. Volunteer hearing officers are not subject to the annual education requirements for judges, unless required by the presiding judge of the superior court in the respective county.

J. Standards for Administrators, Clerks and Court Personnel.

1. Education requirements. All administrators, clerks and court personnel shall complete the general requirements.
2. Orientation. Orientation for administrators, clerks, probation and court personnel shall take place no later than 90 days after assuming duties and shall include an explanation of their specific job duties and familiarization with court structure and procedures, including an overview of:
   a. The Arizona judiciary, including the structure and function of each court;
   b. Current issues in the courts;
   c. Expectations when dealing with the public in the courts;
   d. An introduction to effective communication skills for court employees;
   e. Computer/network security awareness;
   f. Local court-related issues;
   g. Court security; and
   h. Judicial education.
3. Court administrators, managers and directors shall attend at least one program conducted out-of-state or in-state by an established, nationally recognized training organization every three years.
4. Training coordinators. Staff serving as training coordinators shall attend a training coordinator orientation conducted by Education Services within the first 90 days of appointment.

K. Standards for Probation Personnel.

1. Education requirements. All probation personnel shall complete the general education requirements specified in subsection (H).
2. Curriculum standards.
   a. Training and staff development programs are designed to meet the educational needs of probation officers at various stages of their careers by imparting knowledge, improving skills and techniques, increasing understanding of job responsibilities and explaining the effects that probation can have on the judicial system, clients and society. Subject areas are at the discretion of the individual agency and may include:
      1) Case classification, risk and needs assessment;
      2) Cultural awareness;
      3) Caseload management and case planning;
      4) Creative problem-solving and decision-making;
      5) Role awareness, judgment and leadership;
      6) Specialized caseloads (e.g. alcohol, drugs, mental illness, white collar crime, gangs, sexual abusers, special learning needs, domestic violence and absconders);

7) Introduction to intensive probation; and
8) Personnel practices and procedures.

b. Court-related education and training programs are designed to impart knowledge and understanding of the Arizona judiciary and the legal process and shall address the areas of proficiency, competency and performance. 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 probation managers; and
6) Non-facilitated learning opportunities for probation staff.

3. Training program requirements for probation and surveillance officers.

a. Orientation. Prior to assumption of caseload and casework responsibilities, all adult and juvenile probation officers shall receive orientation within the first 90 days of employment, including the following subjects:
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, diversity, grievance procedures, the Code of Conduct for Judicial Employees, disciplinary actions;
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 adult and juvenile probation officers shall successfully complete the Probation Officer Certification Academy within the first twelve months of employment in accordance with ACJA § 6-104. Specific training areas shall include:
1) Evidence-based practices;
2) Ethics;
3) Courtroom testimony, responsibilities and behavior;
4) Legal liabilities and issues in probation;
5) Understanding and managing probationer behavior;
6) Role of substance abuse in delinquent and criminal behavior;
7) Utilizing community resources;
8) Communication skills; and
9) Interviewing techniques.

c. Officer safety orientation. All adult and juvenile probation and surveillance officers shall successfully complete officer safety orientation within 30 days of hire in accordance with ACJA § 6-107.

d. Defensive tactics and firearms. All probation and surveillance officers in safety sensitive positions shall:
   1) Successfully complete the Defensive Tactics Academy as soon as practical, but no later than 120 days from the date of employment, and annually thereafter a minimum of eight hours of defensive tactics refresher training in accordance with ACJA § 6-107; and
   2) If approved to attend, successfully complete the Firearms Academy and participate in mandatory training thereafter, re-qualifying annually in accordance with ACJA § 6-113.
   3) A chief probation officer or director of juvenile court services, having good cause, may request an extension of time for an officer to complete the Defensive Tactics Academy from the administrative director.

4. Training program requirements for intensive probation supervision (IPS) officers. All adult and juvenile probation and surveillance officers assigned to the IPS program shall successfully complete the Institute for Intensive Probation Supervision training within twelve months of assignment.
5. 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 train the trainer activities each year.
6. Standards for chief probation officers and directors of juvenile court. Every chief probation officer or director of juvenile court shall attend at least one program conducted out-of-state or in-state by an established, nationally recognized training organization every three years.

L. Standards for Detention Personnel.

Detention officers shall comply with the Arizona Juvenile Detention Standards for detention staff training.

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 judges and court personnel to attend 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 necessary to support the educational requirements of judges and court personnel of their court. The supreme court will request state appropriations when necessary to fund compliance with educational standards and to enhance the quality of educational programs.
2. Financial assistance.
   a. Programs within the state. Supreme court education funds available 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 judicial education program.

(b) Judges and court personnel complying with the education standards but who have been unable to attend a suitable comprehensive judicial education program within the first two years of taking office.

(c) Judges and court personnel complying with the education standards and who last attended a judicial education program three or more years prior to seeking financial assistance from the supreme court.

(d) Judges and court personnel complying with the education standards seeking to attend non-resident seminars and educational conferences applicable to their judicial responsibilities and jurisdictional level.

(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 financial assistance is available, judges and court personnel shall complete 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 Education Services. State funds shall not be used to pay for attendance at sporting events, excursions, plays, or social activities.

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 Education Services.

Adopted by Administrative Order 2006-120, effective January 1, 2007. Amended by Administrative Order 2008-06, effective January 23, 2008. Amended by Administrative Order 2011-38, effective March 30, 2011, with the exception of § 1-302(H)(4), which shall be effective January 1, 2012. Amended by Administrative Order 2012-60, effective July 31, 2012. Amended by Administrative Order 2014-75, effective January 1, 2015. Amended by Administrative Order 2014-135, effective January 1, 2015. Technical amendment by Administrative Order 2015-96, effective January 1, 2016. Amended by Administrative Order 2019-63, effective June 5, 2019. Amended by Administrative Order 2019-149, effective November 27, 2019. Amended by Administrative Order 2022-134, effective November 2, 2022. Amended by Administrative Order 2024-144, effective July 17, 2024.

Arizona Supreme Court
Administrative Office of the Courts

Court Improvement Program

FUNDING AGREEMENT

_______________ County

Fiscal Year 2026

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, 2026.

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 to seven 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 days of service of a dependency petition.
5) A Disposition Hearing shall be held at the same time or no later than thirty days after the Adjudication Hearing.
6) A Review Hearing shall be held within six months of the initial Disposition Hearing.
7) A Permanency Hearing shall be held:
    a) within thirty days of disposition, if Court orders that reunification services are not to be offered;
    b) within six months of removal for a child less than three years of age;
    c) within one year of removal, if reunification services are not discontinued by court order.
8) If the Court determines at the Permanency Hearing 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 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 days of the Permanency Hearing.
9) The Court shall make specific and factual findings as to the extraordinary circumstances which brought about the continuance of any dependency hearing.

b. Primary Budget Considerations

In order to accomplish the timelines 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) A 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 day of the following month.
4) Dependency Exception Reports will be run by the eighth 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-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, 2026. Grantee shall also submit a Closing Report and Financial Statement to the AOC on or before August 31, 2026. 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, 2026 and unexpended as of July 31, 2026, 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, 2026.

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, 2026, 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 4, Articles 9, 10, and 11, 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 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.

9. ASSIGNMENT OF INTELLECTUAL PROPERTY RIGHTS

Any reports or information developed during the course of implementing the requirements of this agreement will be the joint property/ownership of the Grantee and the AOC. The Grantee and the AOC shall have full and complete rights to reproduce, duplicate, disclose, perform and otherwise use all information prepared under this Agreement.

10. PERFORMANCE LIABILITY

Except as otherwise provided by law, in the performance of this Agreement and Grantee's Funding Agreement 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.

___________ County Superior Court	**Arizona Supreme Court, Administrative Office of the Courts**
By: __________________________________	By: __________________________________
Honorable ____________________________	Jeff Schrade
Presiding Juvenile Court Judge	Deputy Director

CASA COMPLIANCE TOOL

County:	Date IIR Sent:	Reviewer:

Section	Requirement	Source	Compliance
General Administration	1. One county coordinator per county shall attend administrative meetings.	State Office	
Program Plan and Financial Management	1. The county program shall:		
	1. Provide to the manager an annual budget request and program plan.	State Office	
	2. Submit bi-annual progress reports to the state program office by the last day of January 31st/August 31st.	State Office Submit: 75%	
		On time: 25%	
	3. Submit quarterly financial statements to the state program office by 30th or 31st day of the new quarter (October 31, January 31, and April 30).	State Office Submit: 75%	
		On time: 25%	
	4. Submit a closing financial statement (year-end) to the state program office by August 31st.	State Office Submit 75%	
		On Time: 25%	
	5. Carryover funds from the previous fiscal year shall be expended in the current fiscal year. If revertment of funds is necessary, revertment shall be received annually at the state program office by September 1.	State Office Submit 75%	
		On Time: 25%	
	6. Provide additional financial reports as directed by the manager (for example, “mid-year vacancy savings report”).	State Office	

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
					☐Y ☐N ☐N/A
					☐Y ☐N ☐N/A
					☐Y ☐N ☐N/A

Contact Logs

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

Documents pertinent to the case (CPS/DDD reports, FCRB Recs, evaluations) in file.	☐Y ☐N ☐N/A

CASA VOLUNTEER FILE TOOL

Date	County	Volunteer	Active/ Inactive	Open/ Closed	Peer Mentor/ Coord (Y/N)	Reviewer

1	Date of completed, signed application:		
	Date CASA Academy completed:		
	Date of certification:		
	Date of initial case assignment:		
2	Are all the sections of the application completed including the criminal background section?	☐Y ☐N ☐NA	
3	Did the applicant provide identifying information and emergency contacts?	☐Y ☐N ☐NA	
4	Did the applicant state that they are a U.S. citizen or legal resident?	☐Y ☐N ☐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?	☐Y ☐N ☐NA	
6	Did the applicant provide proof of insurance?	☐Y ☐N ☐NA	
7	Was the applicant at least twenty-one years of age?	☐Y ☐N ☐NA	
8	Did the applicant complete a personal interview with the county coordinator?	☐Y ☐N ☐NA	
9	Does the file document three non-relative personal references?	☐Y ☐N ☐NA	
10	Did the applicant sign and date the Acknowledgment/Statement of Intent to Transport Children Form?	☐Y ☐N ☐NA	
11	Did the applicant complete a polygraph exam?	☐Y ☐N ☐NA	
12	Is there a completed volunteer development plan in the file?	☐Y ☐N ☐NA	
13	If the file is closed, is there a completed Program Material Checklist?	☐Y ☐N ☐NA	
14	Initial: Date that the state & federal background check results were received or the date of the notarized criminal disclosure statement if definitive fingerprints were unobtainable. (provide original date documentation)	Original or CDS	State
		Original or CDS	Federal
15	Re-certification: Date that the state & federal background check results were received or the date of the notarized criminal disclosure statement if definitive fingerprints were unobtainable. <u>(provide </u>recertification dates-current and prior)	Re-cert or CDS	State
		Re-cert or CDS	Federal
16	***Re-Certification*:**		
	a. Did the volunteer complete and sign all sections of the Ongoing Certification Requirements, Authorization, and Statements form?	☐Y ☐N ☐NA	
	b. Completed statements regarding vehicle use and provided copy of insurance card if may or are transporting children. **(Need to provide continuous proof)**	☐Y ☐N ☐NA	
17	If volunteer/mentor/peer coordinator is on active unassigned or administrative unassigned status, is there a log of activity/training in file? (Need three hours a month in organized program activities.)	☐Y ☐N ☐NA	

	If volunteer is inactive, for no more than 6 months?	☐Y ☐N ☐NA
18	Volunteer Training a. New Volunteer: 30 hours of training completed prior to first assignment. b. Ongoing Training Hours for calendar year ____: Present/Required c. Ongoing Training Hours for calendar year ____: Present/Required	☐Y ☐N ☐NA
19	Peer Mentor/Peer Coordinator Program 1. Name of Peer Mentor/Peer Coordinator 2. Have 1 year of CASA experience and appointed to at least one case? 3. Completed additional peer or mentor training by the state office? 4. Have logs in file identifying mentoring/coordinator activity?	 ☐Y ☐N ☐NA ☐Y ☐N ☐NA ☐Y ☐N ☐NA ☐Y ☐N ☐NA
20	**Application to Certification (120 days unless written exception) For applicants beginning application process on/after January 1, 2019** [exception-3/24/20-4/22/22]	
	a. Did the applicant complete their application to certification process with 120 days?	☐Y ☐N ☐NA
	b. Did the CASA program have a written exception if the certification process is over 120 days?	☐Y ☐N ☐NA

ARIZONA CODE OF JUDICIAL ADMINISTRATION
Part 7: Administrative Office of the Court Programs
Chapter 1: Dependent Children's Services
Section 7-101: Court Appointed Special Advocate Program

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

"Administrative director" means the administrative director of the Administrative Office of the Courts (AOC) and the director's designee.

"Assigned judge" means the judge who hears a particular dependency case to which a Court Appointed Special Advocate (CASA) volunteer is appointed.

"CASA coordinator" means the position that supervises CASA volunteers in the county program.

"CASA volunteer" means the individual volunteer, certified pursuant to this Arizona Code of Judicial Administration (ACJA) § 7-101, and appointed by the presiding judge of the juvenile court, or another judge, with the approval of the presiding judge.

"Child welfare agency" or "agency":

(a) Means:

1. Any agency or institution that is maintained by a person, firm, corporation, association or organization to receive children for care and maintenance or for twenty-four hour social, emotional or educational supervised care or who have been adjudicated as a delinquent or dependent child.
2. Any institution that provides care for unmarried mothers and their children.
3. Any agency that is maintained by this state, a political subdivision of this state or a person, firm, corporation, association or organization to place children or unmarried mothers in a foster home.

(b) Does not include state operated institutions or facilities, detention facilities for children established by law, health care institutions that are licensed by the department of health services pursuant to title 36, chapter 4 or private agencies that exclusively provide children with social enrichment or recreational opportunities and that do not use restrictive behavior management techniques.

as provided in A.R.S. § 8-501(A)(2).

"Complaint" means a written statement regarding a volunteer alleging behavior that if substantiated would amount to a violation of statute, regulations, court rules, or this section.

"County program staff" means all CASA coordinators, county support staff, and any other individuals who are assigned to work within the CASA program.

"Division director" means the director of the Dependent Children's Services Division of the AOC or the division director's designee.

"*In camera* inspection" means a judge's inspection of a document which is the subject of a request for disclosure before ruling on its release.

"Lawfully admitted for permanent residence" means the status of having been lawfully accorded the privilege of residing permanently in the United States as an immigrant in accordance with the immigration laws, such status not having changed, as provided in 8 U.S.C.A. §1101(a)(20).

"Manager" means the program manager of the CASA program administered by the AOC.

"Presiding juvenile judge" means the presiding judge of the juvenile court in each county.

"State CASA office" means the office responsible to administer the CASA program statewide.

"Subpoena" means a court order compelling a person or representative of an organization to testify and/or produce records on a certain date at a certain place.

1. **Applicability.**

    a. Pursuant to A.R.S. § 8-523(A), "The court appointed special advocate program is established in the administrative office of the supreme court. The program shall establish local special advocate programs in each county. The supreme court shall adopt rules prescribing the establishment of local programs and the minimum performance standards of these programs."

    b. Pursuant to A.R.S. § 8-522(B), "The supreme court shall certify special advocates pursuant to rules adopted by the court. Court rules for certification shall include compliance with qualification standards prescribed by the court."

2. **Purpose.** The purpose of the CASA program is to administer and provide oversight to a community-based volunteer advocacy program in the juvenile court for abused and neglected children.

3. **General Administration.**

    a. Pursuant to A.R.S. § 8-522, the supreme court shall administer the CASA program.

    b. Pursuant to A.R.S. § 8-523(B), "The supreme court shall employ administrative and other personnel it determines are necessary to properly administer the program and to monitor local program performance." At a minimum, the monitoring shall take place through an operational review and shall assess each program's compliance with:

        i. Arizona statutes, Rules of Procedure for the Juvenile Court, administrative orders, this section and other applicable ACJA sections, and program policies and procedures; and

        ii. Case and volunteer file standards.

c. The administrative director is authorized to adopt, by administrative directive, CASA program policies and any amendments to the policies.

d. Under the supervision of the administrative director, the division director shall prepare fiscal projections, create a budget, and allocate and expend funds for administrative costs and projects associated with the CASA program.

e. The division director shall appoint a manager. The manager shall oversee the implementation and administration of the CASA program which includes the daily management and supervision of state CASA office staff. The manager shall oversee the development and maintenance of all program performance criteria to include policies, procedures, recommended job descriptions, manuals, and other necessary materials.

f. The manager shall oversee training for all staff to include state CASA program staff, county program staff, and volunteers.

g. The state CASA office shall facilitate the fingerprint process through the Department of Public Safety (DPS), pursuant to A.R.S. § 8-522(B) and as prescribed in policy.

h. The state CASA office shall obtain, review, and advise the county program office regarding the results of all applicant Department of Transportation, Motor Vehicle Division (MVD) record information pursuant to A.R.S. § 8-522(B) and as prescribed in policy.

i. The state CASA office shall obtain, review, and advise the county program office regarding the results obtained on the review of the Department of Child Safety (DCS) central registry pursuant to A.R.S. § 8-522(B) and as prescribed in policy.

j. The state CASA office shall maintain a central list of all certified volunteers and issue them identification badges.

k. The state and county program staff shall not solicit donations.

l. All state office and county program staff and volunteers shall comply with applicable statutes including, but not limited to A.R.S. §§ 8-807 and 41-1959, Arizona Rules of Court including, but not limited to Rule 123, Rules of the Supreme Court and the Rules of Procedure for the Juvenile Court, this section and other applicable ACJA sections, and administrative rules regarding confidentiality.

4. **Budget Request Preparation.** A.R.S. § 8-524(B) provides: "A court may request fund monies by submitting a program plan and funding request to the supreme court pursuant to rules adopted by the court." The presiding judge or designee shall submit in writing to the director or designee a budget request and program plan to establish and maintain a county program. The manager shall annually supply each presiding judge or designee a funding request form and other required forms together with instructions for applying for funds appropriated to the supreme court pursuant to A.R.S. § 8-

524. To the extent funds are available, the director shall allocate funds "to operate, improve, maintain and enhance the program," pursuant to A.R.S. § 8-524(A).

5. **Program Plan and Financial Management.**

   a. The county program shall adhere to the funding agreement issued upon approval of the plan submitted pursuant to A.R.S. § 8-524(B). The administrative director may re-allocate funds during the year based on the documented need, current use of funds, and approved plan for budget modifications.

   b. The county program staff shall enter all required statistical information on cases and volunteers into a statewide database approved by the administrative director, on at least a monthly basis. The AOC will specify required statistics for reporting.

   c. Pursuant to A.R.S. § 8-522(D), "A special advocate serves without compensation but is entitled to reimbursement of expenses pursuant to guidelines prescribed by the supreme court by rule." The CASA coordinator shall reimburse volunteers for per diem and mileage costs for attending the mandatory pre-service training, to the extent funds are available and according to state travel policies. The CASA coordinator may authorize reimbursement for volunteer training and extraordinary travel expenditures if funds are available, and according to state travel policies.

6. **County Program Operations.**

   a. The presiding juvenile judge, or another judge, with the approval of the presiding judge, shall have authority over the local CASA program in each county. The CASA county program staff shall report to the presiding judge of the juvenile court, or another judge, with the approval of the presiding judge.

      i. All county program staff and volunteers shall comply with this section, ACJA § 1-303: Code of Conduct for Judicial Employees, other applicable ACJA sections, and the program policies. All county program staff and volunteers 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.

      ii. All county program staff and volunteers shall receive a copy of this section, ACJA § 1303: Code of Conduct for Judicial Employees, and CASA program policies. Each county program staff and volunteer shall sign and date an acknowledgement of receipt and agreement to comply with these documents. The signed acknowledgement shall be placed in the staff member's or volunteer's file.

   b. Each case shall be screened following a procedure approved by the presiding juvenile judge, or another judge, with the approval of the presiding judge.

c. Pursuant to Rules of Procedure for Juvenile Court, Rule 112, "The court may appoint a CASA under A.R.S. §§ 8-522 and 8-523 to assist and advocate for a child, to assure that all appropriate services are made available to the child, and otherwise to protect the best interests of the child in the action in which the CASA is appointed. The court may appoint a CASA in a dependency, Title 8 guardianship, or termination action."

d. The county program shall make effective matches of volunteers to cases.

e. The CASA coordinator shall not assign a volunteer more than two cases at one time. The CASA coordinator may make and document an exception for good cause. Under the exception, a CASA coordinator shall not assign a volunteer to more than five cases at one time.

f. A.R.S. § 8-522(F) provides:

> 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 produces may only be disclosed as provided for in section 41-1959.

g. An outside individual or agency (for example: DCS, attorneys, private parties, law enforcement, etc.) shall not review any volunteer or CASA case files unless a subpoena is served and an order of the presiding juvenile judge, or another judge, with the approval of the presiding judge, has been issued, pursuant to A.R.S. § 8-522(F).

h. The CASA volunteer shall not testify in a deposition, hearing, or trial regarding information obtained in the course of their appointment unless a subpoena is served, and a court order is issued. Upon receipt of a subpoena for records, the CASA coordinator or designee shall deliver a complete duplicate of any documents related to the subpoena and kept by the CASA volunteer to the presiding juvenile judge, or another judge, with the approval of the presiding judge, for *in camera* inspection. The CASA coordinator shall not permit a file to be viewed without an order.

i. If a CASA volunteer testifies at a deposition, hearing, or trial before a judge and uses contact logs or any portion of the volunteer's file that have been the subject of a subpoena, any disclosure to the parties shall be ordered by the court.

j. The CASA coordinator shall ensure the following incidents are reported to the appropriate authorities:

    i. The CASA coordinator is notified by a volunteer who reasonably believes that a child is in imminent danger or is, or has been, the victim of physical injury, abuse, a reportable offense, or neglect.

    ii. The CASA coordinator is notified that there is an allegation of abuse or neglect against a volunteer.

k. The CASA coordinator shall make every reasonable effort to ensure that upon voluntary or involuntarily leaving the program, volunteers return identification badges and all case-related materials.

l. The CASA coordinator shall not accept appointment as a CASA volunteer.

m. If a volunteer has a record of conviction of a violation of A.R.S. §§ 28-1381, -1382, or -1383 (driving under the influence (DUI)), the county program shall prohibit the volunteer 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 years from the date of the conviction.

n. All county program staff shall immediately notify the CASA coordinator, county program manager, or supervisor, and volunteers shall immediately notify the CASA coordinator if:

   i. They are the subject of an allegation or investigation in any criminal matter;

   ii. They have been arrested or charged in any criminal matter;

   iii. 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;

   iv. 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;

   v. They have engaged in an act listed in (I)(2)(a)-(e);

   vi. They are currently awaiting trial for criminal offenses listed in (I)(1)(d)-(f) or (I)(2)(b), (c), or (e) in this state or in another state or jurisdiction; or

   vii. They have engaged in any behavior listed in (I)(1)(g)-(k).

o. Either the CASA coordinator, county program manager, or supervisor shall immediately notify the state CASA office manager if:

   i. They are the subject of any action listed in (G)(14)(a)-(g); or

   ii. County program staff or volunteers have reported to the CASA coordinator county program manager, or supervisor that they are the subject of an action listed in (G)(14)(a)(g).

p. County program staff using county computers shall adhere to ACJA § 1-503: Electronic Communications.

q. Access to records of applicants and volunteers. Unless otherwise provided by law, the following shall apply to applicant and volunteer records:

  i. Program records regarding applicants and volunteers shall not be open to applicants, volunteers, or the public. This includes, but is not limited to, the application, polygraph examination, interview notes, criminal history record information, DCS central registry information check, personal references, and MVD record check.

  ii. Upon request, the county program shall provide an applicant or volunteer with a copy of the applicant's or volunteer's individual application. Notes and work product of county staff are confidential and shall not be provided.

r. The CASA coordinator is responsible for discussing and reviewing the court report with the volunteer, prior to the county program staff submitting the report to the court.

s. The CASA coordinator must not alter court reports without the consent of the volunteer.

t. CASA Court Reports shall contain the following language as it appears here:

"THIS DOCUMENT IS DISCLOSED PURSUANT TO RULE 315, RULES OF PROCEDURE FOR THE JUVENILE COURT, AND IS OTHERWISE CONFIDENTIAL PURSUANT TO A.R.S. § 8-522(F), RULE 313, RULES OF PROCEDURE FOR THE JUVENILE COURT, AND ACJA § 7-101(G). THIS DOCUMENT CANNOT BE DISCLOSED EXCEPT UPON ORDER OF THE COURT OR AS OTHERWISE PROVIDED BY LAW."

7. **Initial Certification and Application Process.**

a. Qualifications of the Volunteer. A volunteer shall meet the following qualifications:

  i. U.S. citizen or lawfully admitted for permanent residence;

  ii. Not employed by DCS, the juvenile court, or a child welfare agency, unless specifically authorized by the presiding judge of the juvenile court, or another judge, with the approval of the presiding judge; and

  iii. At least 21 years of age.

b. Volunteer Application Process. A volunteer shall complete the following application process within 120 days of the application date unless a good cause extension is obtained from the CASA coordinator and is documented in the volunteer file:

  i. Complete an application;

ii. Authorize the CASA program to secure a criminal history record check, MVD record check, and DCS central registry information check as permitted by state and federal laws;

iii. Provide the program with a readable fingerprint card;

iv. In the event definitive fingerprints are not obtainable, the county program shall require the applicant to make a written statement, under oath, that the applicant has not been arrested for, charged with, indicted for, convicted of, or plead guilty to any felony or misdemeanor, other than as disclosed on the application, through the interview process, or polygraph exam. The CASA coordinator has the option to recommend that certification of a volunteer be granted or denied, even if this statement is provided;

v. Complete a personal interview with the CASA coordinator;

vi. Provide three non-relative personal references;

vii. Complete a polygraph examination;

viii. Sign and date an acknowledgement indicating the volunteer has read, and will abide by the statutes, Arizona Rules of Court, this section, the Code of Conduct for Judicial Employees, administrative orders, and policies and procedures of the CASA program; and

ix. Attend 30 hours of pre-service advocacy training as established by the AOC.

c. The CASA program shall deny the applicant if the applicant refuses to authorize a release of information to complete background checks.

d. Notification of Certification. The county program staff shall promptly notify the applicant accepted for certification.

e. Volunteers who have been certified to enter the program and who intend to transport children shall:

i. Sign a statement of intent to transport children;

ii. At all times maintain current automobile insurance coverage as required by Arizona law and provide proof of insurance annually to the county program office;

iii. Ensure their automobile insurance carrier is kept apprised that they will be transporting children in the course of their CASA volunteer duty;

iv. Obtain permission of the child's legal guardian, custodial guardian, or placement; and

v. Be informed of the potential personal risk of liability.

8. **Denial of Certification.**

a. The CASA coordinator shall deny certification if any of the following conditions exist:

i. The applicant has not completed any aspect of the application process.

ii. The applicant has not completed the application process, including pre-service training, within 120 days and has not been granted a good cause extension by the CASA coordinator.

iii. The applicant materially misrepresented facts or committed fraud in the application process.

iv. The applicant is awaiting trial for a criminal offense in this state or another state or jurisdiction, or has been convicted of any of the following criminal offenses, or similar offenses in this state or another state or jurisdiction:

1. Sexual abuse of a minor
2. Incest
3. First or second degree murder
4. Kidnapping
5. Arson
6. Sexual assault
7. Sexual exploitation of a minor
8. Contributing to the delinquency of a minor
9. Commercial sexual exploitation of a minor
10. Felony offenses involving, distribution of marijuana, dangerous drugs or narcotic drugs
11. Burglary
12. Robbery
13. A dangerous crime against children pursuant to § 13-705
14. Child abuse
15. Sexual conduct with a minor
16. Molestation of a child

v. The applicant has charges pending in this state or another state or jurisdiction for a felony or misdemeanor involving a sex offense, child abuse or neglect, or related acts that would pose risks to children.

vi. The applicant has been convicted of a felony or misdemeanor in this state or another state or jurisdiction, involving a sex offense, child abuse, neglect, related acts, or any other crimes against children.

vii. The applicant is the subject of allegations in a civil, probate, domestic relations, or dependency complaint in this state or another state or jurisdiction, or has been found in any civil probate, domestic relations, dependency or other court matter to have:

1. Sexually abused or assaulted; (2) Physically abused or assaulted; or (3) Financially exploited any person.

viii. The applicant has been found in any professional licensing disciplinary board's final decision to have:

1. Sexually abused or assaulted; (2) Physically abused or assaulted; or (3) Financially exploited any person.

ix. The applicant is currently using or has used within the past two years any non-prescribed controlled substances and/or illegal drugs, including the illegal use of marijuana.

x. The applicant is the parent or guardian of a child currently in the dependency process or adjudicated to be dependent.

xi. The applicant has a record in the DCS central registry of substantiated acts of abuse or neglect.

b. The CASA coordinator may deny or recommend denial of certification if one or more of the following is found:

i. The applicant has a record of any act constituting dishonesty or fraud;

ii. The applicant has pending criminal felony charges in this state or another state or jurisdiction or has a record of conviction by final judgment of any felony not listed in (I)(1)(d);

iii. The applicant has pending charges in this state or another state or jurisdiction for a criminal offense or has a record of conviction by final judgment of a misdemeanor involving moral turpitude or having a reasonable relationship to the duties of a CASA;

iv. The applicant has been found civilly liable in an action involving fraud, misrepresentation, material omission, misappropriation, or conversion; or

v. The applicant has pending charges or has been convicted in this state or another state or jurisdiction related to driving under the influence in violation of A.R.S. §§ 28-1381, -1382, or -1383.

vi. In determining whether to allow an applicant with the conduct or record of convictions listed in (I)(2)(a)-(e) to be certified, the CASA coordinator shall consider the following:

1. The extent of the person's criminal or conduct record;
2. The length of time that has elapsed since the offense or conduct was committed;
3. The nature of the offense or conduct;
4. Any applicable mitigating circumstances;
5. The degree to which the person participated in the offense or conduct;
6. The extent of the person's rehabilitation, including:
    a. Completion of probation, parole, or community supervision;
    b. Whether the person paid restitution or other compensation for the offense or conduct;
    c. Evidence of positive action to change the conduct or criminal behavior, such as completion of a drug treatment program or counseling; and (d) Personal references attesting to the person's rehabilitation.

c. Notification of Denial.

    i. The CASA coordinator shall promptly notify the applicant denied certification. The CASA coordinator shall notify applicants of the general reasons regarding a denial without providing specific information.
    ii. The applicant shall be advised that if the volunteer application is denied, the applicant, upon request, may have the decision reviewed by the presiding judge of the juvenile court, or another judge, with the approval of the presiding judge.

9. **Volunteer Status.**

    a. A volunteer serves at the pleasure of the court. The court may terminate the services of a volunteer without cause.

    b. The CASA coordinator shall address any volunteer's failure to adhere to the minimum performance standards of the CASA program. The CASA coordinator shall make recommendations to the presiding judge of the juvenile court, or another judge, with the approval of the presiding judge, regarding limitations on types of cases assigned to the volunteer, suspension, or termination.

    c. A volunteer shall have access to documents and information pursuant to A.R.S. § 8-522(F) as described in (G)(6).

    d. A.R.S. § 8-522(G) provides for notice to the CASA volunteer as follows: "The special advocate shall receive notice of all hearings, staffing, 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."

e. 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.”

f. A volunteer shall be on active status if the volunteer is appointed to a dependency case.

g. A volunteer shall be on active unassigned status if the volunteer is:

   i. Pending a case assignment; or

   ii. Serving as a mentor or peer coordinator to other volunteers.

h. A volunteer shall be on administrative unassigned status if the volunteer is involved in the administrative aspect of the county program office.

i. Volunteers who are on active unassigned or administrative unassigned status shall provide a minimum of three hours per month in organized program activities and shall document those activities monthly.

j. A volunteer may be placed on inactive status if all of the following conditions are met:

   i. Approved by the CASA coordinator, for no longer than six months;

   ii. Not currently appointed to a dependency case;

   iii. Not on active unassigned or administrative unassigned status pursuant to (J)(7) and (8).

10. **Volunteer Minimum Performance Standards.**

a. The volunteer shall adhere to the following performance requirements:

   i. A.R.S. § 8-522(E) provides:

A special advocate shall:

1. Meet with the child.

2. Advocate for the child’s safety as the first priority.

3. 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.

4. Provide advocacy to ensure that appropriate case planning and services are provided for the child.

5. Perform other duties prescribed by the supreme court by rule.

ii. Disclose to the CASA coordinator or court, before appointment:

1. Any pre-existing relationship with a child or the child's family;
2. Any relation to any parties in the case; or
3. Any employment or affiliation at any agency that might result in a conflict of interest.

iii. Accept appointments in dependency, Title 8 guardianship, and termination actions pursuant to Rule 112, Rules of Procedure for the Juvenile Court and A.R.S. § 8-522(A).

iv. Accept appointment as guardian ad litem pursuant to A.R.S. §§ 8-221(G) and 8-522(A) and Rule 305, Rules of Procedure for the Juvenile Court.

v. Comply with applicable statutes, including but not limited to, A.R.S. §§ 8-807 and 41-1959, Arizona Rules of Court, including but not limited to Rule 123, Rules of the Supreme Court and the Rules of Procedure for the Juvenile Court, administrative rules regarding confidentiality, ACJA 1-303: Code of Conduct for judicial employees, administrative orders, rules, this section, and program policies and procedures.

vi. Serve and respond to requests without bias of race, religion, sex, age, national origin, or physical impairment.

vii. Use public resources, property, and funds under the volunteer's control responsibly and for the purpose intended by law and not for any private use.

viii. Consult with the CASA coordinator to address any ethical issues that arise.

ix. Perform authorized functions in a professional and impartial manner.

x. Provide a written report, previously discussed and reviewed with the CASA coordinator prior to every hearing in a format and manner outlined in CASA program policies.

xi. Attend all court hearings pertaining to the appointed case and provide information orally to the court when requested. The volunteer shall also provide sworn testimony to the court if subpoenaed as a witness or ordered by the court.

xii. Meet in-person with the child once every 30 days at a minimum. An exception may be granted at the discretion of county program coordinator.

xiii. Monitor the child's placement and observe the child's behavior in the placement to assess the child's needs and identify any problems discovered in a written report to the court.

xiv. Inform the CASA coordinator promptly of urgent developments in the case so that the CASA coordinator staff can notify the court through appropriate means.

xv. Consult at least monthly with the CASA coordinator in case/program discussion and document the discussion in the contact log.

xvi. Maintain an accurate and complete contact log on the case and provide the documentation on at least a monthly basis to the county program office.

xvii. Comply with the required in-service training each calendar year.

xviii. Return case files to the program after the case is closed.

xix. Sign and date an acknowledgement of receipt and agreement to comply with this section and CASA program policies and operational procedures. The signed acknowledgement shall be placed in the volunteer's file.

xx. The volunteer who reasonably believes that a child is in imminent danger or is, or has been, the victim of physical injury, abuse, a reportable offense, or neglect should report these observations to the appropriate authorities and inform the CASA coordinator.

xxi. Inform the CASA Coordinator promptly, if the volunteer has been arrested for, charged with, indicted for, convicted of, or pled guilty to any misdemeanor or felony since the applicant's last certification.

b. The volunteer shall not:

a. Be appointed to a case where the volunteer is related to any parties involved in the case.

b. Engage in the following activities:

i. Give legal or medical advice.
ii. Provide therapeutic counseling.
iii. Provide health care services.
iv. Make placement arrangements for the child.
v. Give expensive or excessive gifts to the child or the child's family or caregiver. The volunteer must consult with the CASA coordinator to define the value of a gift in the context of this section.

vi. Take the appointed child to any home other than the child's placement without notifying the CASA coordinator, and without receiving prior approval from the DCS supervisor or DCS case manager.
vii. Take the appointed child to the volunteer's home or permit the child to stay overnight with the volunteer, without receiving prior approval of the DCS supervisor, DCS case manager, CASA coordinator, and a specific order from the court.
viii. Take the appointed child to isolated places involving only the CASA volunteer and the child.
ix. Perform home studies for out-of-state or in-state agencies.

a. Transmit confidential information via home computers unless transmission is through the AOC's secure web server or a secure web server provided by the county and approved by the administrative director.

b. Request or accept any fee or compensation in the course of CASA volunteer service.

c. Use or attempt to use the volunteer's official position to secure unwarranted privileges or exemptions.

d. Testify in a deposition, hearing, or trial regarding information obtained in the course of their appointment unless a subpoena is served and a court order is issued.

1. A volunteer shall meet the following requirements for certification renewal:

   a. All volunteers must renew their certification every four years.

   b. CASA coordinators shall ensure that a new criminal history background check is completed no earlier than three months prior to the expiration of a volunteer's first four years of service. The years of service shall be calculated form the date of initial certification. This renewal process shall continue every four years thereafter.

   c. Volunteers shall submit a current authorization for the CASA program to secure a criminal history records check, MVD records check, and DCS central registry information check as permitted by state and federal laws.

   d. The CASA coordinator may recertify a volunteer based on compliance with these requirements and based on the volunteer's continued ability to meet the initial certification requirements.
2. The certification reinstatement process is only available to an applicant who has left the program for less than one year and is eligible for return. In order to obtain certification reinstatement the applicant shall submit a signed statement under oath that the applicant has not been arrested for, charged with, indicted for, convicted of, or pled guilty to, any misdemeanor or felony since the applicant's last certification. The CASA coordinator may reinstate the volunteer's certification based on compliance with these requirements.

L. Complaints, Discipline, and Dismissal of Volunteers.

1. The presiding juvenile judge, or another judge, with the approval of the presiding judge, shall designate a person to be responsible for receiving, investigating, and processing complaints against CASA volunteers. This person shall be referred to as the Designated CASA Investigator (DCI). While processing the complaint, the DCI shall conform to all requirements set forth in this section and the CASA Policies and Procedures Manual.

2. A complaint shall be in writing with sufficient specificity to warrant further investigation. The name and telephone number of the complainant shall also be provided.

3. All judicial officers and state and county program staff shall, and any person may, notify the DCI if it appears that a volunteer has violated Arizona statutes, Rules of Court, including Rules of Procedure for the Juvenile Court, this section, administrative orders, rules, or program policies.

4. While an investigation is pending, the DCI may seek a temporary order from the assigned judge, suspending the volunteer from duties as a CASA in the appointed case or cases. Volunteers who are suspended may not be appointed to another case or volunteer in another capacity under this section until resolution of the complaint. The DCI shall seek immediate suspension of a volunteer under the following circumstances:

    a. An allegation of child abuse and neglect against the volunteer.

    b. Any allegation of conduct that would be grounds for mandatory or discretionary denial of certification.

5. Upon review of all evidence, the DCI shall make a report and recommendation to the presiding juvenile judge, or another judge, with the approval of the presiding judge, for resolution of the complaint. The presiding juvenile judge, or another judge, with the approval of the presiding judge, shall take action up to and including dismissal from the program and notify the DCI.

6. The CASA coordinator, or designee, shall document any complaints and resolutions in the volunteer file and take action necessary to follow up on the resolution. Information and documentation shall be confidential and available only for use in considering the volunteer's continuing certification as a CASA volunteer.

7. CASA volunteers serve at the pleasure of the presiding juvenile judge, or another judge, with the approval of the presiding judge. Particular actions may require immediate termination or dismissal by the presiding juvenile judge, or another judge, with the approval of the presiding judge. Such actions 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 the Arizona statutes, Arizona Rules of Court including the Rules of Procedure for 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 volunteer of child abuse or neglect by a court order or any authorized governmental agency;

f. Existing conflict of interest which cannot be resolved;

g. Allowing the appointed child to visit the volunteer's home or stay overnight with the volunteer unless specifically ordered by the court;

h. Any action that would have required initial denial of certification as a CASA volunteer;

i. Exhibiting substance-induced impaired behavior while performing CASA duties; and

j. Using illegal drugs, marijuana, or alcohol while performing CASA duties.

8. A CASA volunteer shall be suspended immediately under the following circumstances:

   a. An allegation of child abuse and neglect against the volunteer; or

   b. An allegation of any conduct that would be grounds for mandatory or discretionary denial of certification.

9. A volunteer shall be dismissed immediately if there has been a judicial or administrative determination of abuse or neglect against the volunteer.

10. A volunteer shall be dismissed immediately if the volunteer uses illegal drugs or alcohol while performing CASA duties or exhibits substance-induced impaired behavior while performing CASA duties.

Adopted by Administrative Order 2000-85 effective November 28, 2000. Amended by Administrative Order 2001-108 effective October 31, 2001. Amended by Administrative Order 2005-13 effective February 3, 2005. Amended by Administrative Order 2019-06 effective January 16, 2019. Amended by Administrative Order 2021-24, effective February 10, 2021. Amended by Administrative Order 2023-196, effective November 8, 2023. Amended by Administrative Order 2024-183, effective September 13, 2024.

Arizona Supreme Court
Administrative Office of the Courts

CASA

FUNDING AGREEMENT
________ County

Fiscal Year 2026

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, 2025, and shall remain in effect through June 30, 2026.

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 county coordinator for 30 active volunteers, 1 county support staff for no less than 3 FTE county coordinator positions, and 1 Supervisor for every 10 county coordinators. The coordinator ratio shall be pro-rated for all FTEs lower than one. Distances and multiple offices in a county, or extenuating circumstances, may be considered for exceptions to this ratio. The total county coordinator FTE shall not exceed 1.0 until the 30 volunteers to 1 county coordinator position ratio is met.

   For funding purposes, the number of volunteers who are active but not appointed to a case, shall not exceed 10% of the total number of active volunteers.

b. The county Program Manager is responsible for direct reporting of 15 staff (10 county coordinators, 5 county support staff, and 300 volunteers) and shall not be held to the county coordinator to volunteer ratio.

c. 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 3(a) of this Funding Agreement.

4. FUND ACCOUNTING

The county shall ensure that funds distributed by the AOC 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 Pre-Service 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 regularly submit, to the AOC, quarterly statistical reports and financial statements in addition to semi-annual narrative progress reports per the timeline chart below. In addition, a closing financial report which includes any unexpended funds and interest in accordance with paragraph 4 of this Agreement and an inventory report with serial numbers of all equipment and office furnishing purchased with grant funds are also due in accordance with the timeline chart below. If a due date falls on a weekend or holiday, the report is due by 5:00 pm the next business day.

Due Date	Report Due
October 15, 2025	Statistical Report
October 30, 2025	Financial Statement
January 15, 2026	Statistical Report
January 15, 2026	Narrative Progress Report
January 30, 2026	Financial Statement
April 15, 2026	Statistical Report
April 30, 2026	Financial Statement
July 15, 2026	Statistical Report
July 15, 2026	Narrative Progress Report
August 31, 2026	Closing Financial Report
August 31, 2026	Inventory Report
September 1, 2026	Revertment, as applicable

d. **Unexpended Funds.** Funds unencumbered as of June 30, 2026, and unexpended as of July 31, 2026, 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, 2026. A carry forward of unexpended funds into fiscal year 2027 will be considered with a written request approved by the AOC. The written request must include a detailed itemized list, including dollar amount, of how the funds are going to be expended. If funds are going to be reverted 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.** If this Agreement is terminated prior to June 30, 2026, 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 five 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.

JUVENILE COURT IN
________ County

By ___________________________________
Presiding Juvenile Judge

ARIZONA SUPREME COURT
ADMINISTRATIVE OFFICE OF THE COURTS

By ___________________________________
Deputy Administrative Director