



# **Court Appointed Special Advocates of South-Central New Jersey**

## **Risk Management Policy**

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### **Risk Management Program for Court Appointed Special Advocates of South-Central New Jersey (“CASA-SNJ”)**

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## **Introduction**

Underlying the mission of CASA-SNJ is a concern for the well-being of the service recipients, volunteers and employees of the organization. Protecting the health, safety, and security of the staff and volunteers who provide, and the families and children who receive, services is an integral part of every program. While risk management includes the assessment of financial resources and insurance coverage, effective programming will refer to our process for screening volunteers, training employees and reducing liability, to name a few. Ultimately, the goal is to develop a risk management plan to minimize the risk to the organization due to unforeseen events.

## **Risk Management Program**

CASA-SNJ seeks to involve appropriate personnel at all levels of the organization in the identification of risks and creation of practical strategies to make certain that the organization's approach to risk management considers diverse perspectives and that staff understand their roles and responsibilities in protecting the mission and assets of the organization.

Risk management is an ongoing process and includes the assessment of financial resources and insurance coverage, the process for recruiting, screening and training volunteers and staff, as well as the day to day operational risks that may impact our ability to carry out our mission.

## **General Principles**

- CASA-SNJ strives at all times to operate in compliance with local, state, and federal laws and regulations.
- CASA-SNJ adheres to the policies and standards of National CASA Association, CASA -NJ and The Administrative Office of the Courts, including, but not limited to matters related to the health, safety, and well-being of service recipients.
- All adults involved with CASA-SNJ bear responsibility for the health, safety, and security of service recipients. This is a primary responsibility of the board of directors, the Executive Director, operational volunteers, and program staff.
- Safety and risk management activities are multifaceted and include:
  - Thoughtful screening, selection and training of operational volunteers, employed staff and Board members.
  - Creation and enforcement of policies, standards, guidelines, and procedures as guides for planning.

- Maintaining safe and secure facilities.
- Ensuring data, systems and cybersecurity are operational.
- Ensuring robust financial oversight and stewardship of assets.
- Establishing procedures to be followed in the event of an emergency.
- Maintaining clear communications channels.
- Maintaining an effective insurance program that mitigates the impact of a potential loss due to a risk event.

## **Governance**

It is the overall responsibility of the Board of Directors to conduct the following:

- Set annual operating objectives with risk management in mind.
- Adopt an annual capital budget with risk management in mind.
- Review operational reports, including the Executive Director, Treasurer's, and Annual Financial Audit reports.
- Establish, adopt and review policies and standards.
- Review the organization's insurance and risk management plan annually.

## **Legal Counsel for the Organization**

Legal counsel will be provided by Pro Bono Partnership or other Pro Bono Services and serves as advisor to the board of directors and senior staff in legal matters, making referrals to specialists as needed.

## **Executive Director or CEO**

- Assigns staff to design and carry out specific safety and risk management activities.
- Executes contracts for the organization under the oversight of the Board of Directors.
- Keeps the board apprised of emerging threats and opportunities facing the organization.

## **Board President**

- Oversees efforts to protect the vital assets of CASA-SNJ in close collaboration with the Executive Director and engages key stakeholders in risk management activities.
- Oversees the work of the Executive Director.
- Annually evaluates the Executive Director through a formal evaluation.

## **Governance Committee**

- Annually reviews governing documents, including Bylaws and Risk management policy to ensure consistency with organizational practices and priorities. Proposes amendments to the Board of Directors as necessary.
- Annually evaluates the organization's insurance program.

## **Insurance**

## **Indemnification**

The indemnification provision is funded by a Directors' & Officers' liability insurance policy, which is renewed annually. CASA-SNJ's general liability is also renewed annually at a minimum of \$3,000,000 for general aggregate, \$1,000,000 for occurrence aggregate, \$1,000,000 for personal/advertising injury, \$100,000 for fire damage, \$5,000 for medical expense.

The organization maintains insurance to protect against the risk of loss. The organization retains an insurance broker to provide guidance, expertise and recommendations for policies and insurance coverage to fit the organization's needs. The Executive Committee will review those proposals and make recommendations to the board.

### Insurance Advisors

CASA-SNJ retains the services of insurance advisors in order to assist the organization in purchasing adequate insurance coverage at an acceptable price.

It is the policy of CASA-SNJ to evaluate the performance of any and all insurance advisors (agents or consultants) on an annual basis and seek competitive bids in accordance with our internal control policies for these services. The incumbent advisor will be invited to participate in the bidding process as long as their current performance meets the minimum requirements of the organization.

As of 2023, FFP Benefits' Dan Toner is CASA's broker.

### Board Operations

CASA-SNJ has a Board of Trustees Manual containing the key policies and expectations of the Board and its individual members, including but not limited to the Code of Ethics, Confidentiality, Conflict of Interest and Whistleblower Policies.

### Board Orientation

To ensure that the members of the Board of CASA-SNJ are properly prepared for their service, experienced board members will share their insights and coach new members in fulfilling their board duties.

### Board Development

The board of CASA-SNJ is dedicated to improving the skill and knowledge of its members by continually informing board members on the legal, financial, and operational aspects of governing a nonprofit organization.

### Board Assessment

The Board of CASA-SNJ is committed to evaluating and improving its performance as a responsible, accountable and effective governing body. The board annually evaluates its performance and adopts a work plan to address any weaknesses.

### Board Recruitment and Nomination

To ensure a diverse, well-balanced and talented board CASA of South-Central New Jersey, has adopted a process for recruiting and nominating future board members.

The Governance Committee is responsible for vetting and onboarding new board members.

- Potential candidates are suggested by members of the full board or leadership staff.
- The Governance Committee assesses whether the candidate's skillset fits CASA's current needs.

- If so, a committee member reaches out to the candidate, invites them for an interview and sends an application and request for references.
- Two committee members meet with the candidate either together or separately; The Executive Director also meets with the candidate separately.
- Should the committee and candidate agree a board position is a good fit, the candidate's nomination will be put before the full board for a vote to approve at the next meeting.

### Board Minutes

The Board is committed to having the minutes accurately reflect the actions of the board. The minutes are stored with other corporate documents to protect them from harm or loss.

### Board Recognition of Affiliate Responsibilities

The Board of CASA-SNJ acknowledges the legal and operational responsibilities inherent in its status as an affiliate of CASA National and CASA of New Jersey. As part of its responsibilities the organization operates under the parameters of affiliation agreements. The Board President and Executive Director acknowledge and accept their respective responsibilities for ensuring that this agreement is understood and its requirements are met.

## **Human Resources**

### Written Employment Policies

CASA-SNJ has adopted a number of employment policies that are contained in the Employee Handbook. The Handbook is distributed to all incoming staff on their first day of employment and employees are required to acknowledge receipt of the Handbook and agree to abide by the policies therein. It is the organization's policy for the Executive Director to review the Handbook carefully prior to taking any disciplinary action against an employee to ensure that the organization's policies have been followed. Employees who have questions or concerns about any of the policies contained in the Handbook are encouraged to speak with the Executive Director.

### Communicating Policy Changes

All new policies are communicated in writing to staff through the use of memos and other appropriate policy documents. In addition, new policies are incorporated in the Employee Handbook when the handbook is updated periodically.

The Governance Committee will review the Employee Handbook with respect to policy changes and updated laws bi-annually and as required by law.

### Use of Position/Job Descriptions

CASA-SNJ uses job descriptions for both paid and volunteer positions in the organization. These documents are developed by the Executive Director, with input from the Governance Committee as appropriate, and updated on an as needed basis.

### Employment Orientation and Onboarding

Before the employee starts their employment, eligibility is verified.

The Executive Director is responsible for conducting a comprehensive onboarding plan for all new employees. During the onboarding, key provisions of the Employee Handbook are discussed, the

employee is asked to provide any additional information necessary for benefits enrollment, and the employee is encouraged to ask questions about any aspect of employment policy or operations. Employees are also introduced to other staff and provided with an overview of equipment and systems they will be required to use.

### Staff Supervision

Executive Director oversees all staff and is required to provide annual reviews, make salary decisions and address any performance concerns. The Executive Director will also meet periodically with their reports in closed session to provide performance feedback and give direction.

### Performance Appraisal Process

CASA-SNJ requires annual reviews for all employees. Supervisors are responsible for scheduling review meetings and completing the Performance Review form. A goal-setting exercise is part of this process.

In addition to the annual performance evaluation, the supervisor meets with their reports in order to guide each employee with respect to the fulfillment of their short and long-term expectations. Self-assessments are part of the performance assessment.

### Client Safety

Client safety is protected through written policies contained in the Volunteer Manual, the Employee Handbook, inter alia. These manuals provide specific details regarding the following activities as they relate to CASA-SNJ staff and volunteers:

- Position Descriptions
- Applications and Interviews
- Reference Checks
- Criminal History Background Checks
- Communication with the Department of Child Protection and Permanency (DCPP)
- Training Requirements
- Emergency Procedures/Contingency Plan

### Volunteer Management

Regarding recruitment, vetting and training of CASA volunteers, CASA-SNJ adheres to all policies, procedures and requirements set forth by the Administrative Office of the Courts, as well as CASA National and CASA of New Jersey. Specific guidelines are outlined in the CASA-SNJ Volunteer Manual.

### Transportation

No children, family members or foster parents shall be transported by an employee or volunteer for any reason. CASA-SNJ's policies regarding transportation are fully outlined in the Employee Handbook and Volunteer Manual.

## **Financial Management**

### Financial Responsibilities and Objectives

It is the responsibility of the Board of Directors to formulate financial policies and review the operations and activities of CASA-SNJ on a periodic basis. The Board delegates this oversight responsibility to the

Finance Committee, of which the Treasurer is the Chair. The ED of the organization acts as the primary fiscal agent, with responsibility for implementing all financial management policies and procedures on a day-to-day basis. The ED may delegate to qualified professional staff the responsibility for managing various aspects of financial management.

The organization's financial management objectives include:

- Preserving and protecting financial assets needed for mission critical activities
- Exercising appropriate care in the handling of incoming funds and the disbursement of outgoing funds
- Ensuring transparency and accountability in all fiscal operations

It is the ED's responsibility to ensure that funds donated and designated as restricted funds are used for the purposes intended.

### Budgeting Process

At the June annual meeting, the Board of Trustees shall discuss and approve the next fiscal year's budget. The budget is prepared by the Executive Director and the Finance Committee.

### Financial Statements

The Treasurer reviews the organization's finances and budget on a monthly basis and reports to the finance committee and Board at the organization's regularly scheduled committee and board meetings. An outside third-party accountant reconciles the financial statements on a monthly basis. A separate, independent licensed CPA firm performs an annual audit in accordance with generally accepted auditing standards and government auditing standards. The licensed CPA firm also prepares the organization's annual Form 990.

### Internal Controls

The organization has adopted specific policies and procedures governing internal controls in order to further safeguard financial assets. This is outlined in the Internal Control Policy.

The above policy is reviewed on a regular basis by the Treasurer or Finance Committee and updated on an as needed basis.

### Facility and Site Safety

CASA-SNJ seeks to utilize its resources and assets fully in achieving its mission. The prudent use of facilities and resources is required to protect the safety and well-being of all personnel—including staff, volunteers and service recipients—while safeguarding the organization's financial assets. CASA-SNJ is committed to providing a safe environment for its volunteers and staff through the appropriate use of its premises, whether owned, leased or borrowed. The organization strives to construct or modify each property to most efficiently and effectively provide services to our clients while meeting all required codes and regulations.

### Preventive Maintenance

In order to avert accidents, injuries and property damage and be in a position to establish that the organization has fulfilled its duty of care, CASA-SNJ performs routine maintenance and cleaning of its facility and has an annual fire safety inspection.

CASA of South-Central New Jersey does not rent/lease its facilities to outside groups.

### Using Others' Facilities Policy

CASA-SNJ will only use others' facilities for special events, training sessions, or in an emergency. The organization will be certain to:

- have a written agreement signed by representatives of all parties that spells out the organization's requirements, expectations and responsibilities with regard to the space; this may be a mutual aid agreement in the event of an emergency.
- fulfill its obligations as spelled out in the agreement.
- supervise its employees, volunteers and service recipients when they use the facility.
- obtain and review appropriate insurance coverage to cover injury, illness and property damage.

### Emergency On-Site Planning Policy

It is the policy of CASA-SNJ to promote good health, well-being and occupational safety for its employees, volunteers and service recipients. Emergency situations require the participation of all staff. Everyone must be familiar with emergency operations. Certain responsibilities are defined to ensure smooth operations. The emergency plan must be readily available, posted in a prominent location, and reviewed annually by the organization's senior management.

### General Evacuation Policy

The organization's building should be evacuated whenever remaining in the building becomes life-threatening, when a warning device (alarm, flashing light, or other) is activated, or upon the request of authorities. The occupants of the building should be evacuated away from the source following the routes posted on each floor. If it is safe to do so, windows and doors should be closed—and left unlocked—as occupants leave the building.

Equipment should be secured as it is safe to do so.

Once people have evacuated the building, they should proceed to the designated assembly point and report to their supervisor, who will document the safe exit of all employees, volunteers and service recipients under their chain of command.

### **Technology and Information Management/Security**

CASA-SNJ's technology and information systems and equipment is protected through written policies which is contained in the Employee Handbook, among others. The Employee Handbook provides specific details regarding the following:

- Organization PC and Software Policy
- Electronic Communications
- Internet Use Policy
- Social Networking Media Policy
- Confidentiality

### Disaster Recovery

CASA-SNJ understands the importance of maintaining computer operations to deliver services and programs. To expedite recovery from an incident involving the organization's equipment and systems, CASA-SNJ has contracted with an external Information Technology Company that maintains the backup systems for all data and provides IT support on an as needed basis.

In addition, the Executive Director will maintain a list of all electronic equipment, such as computers, laptops, servers, cell phones and other communication devices and update annually or as warranted by system acquisitions. The inventory will be stored on-site as well as off-premises.

The Executive Director is responsible for efforts to prevent an interruption to the organization's operations due to damage to technology assets, including data. The contracted Information Technology Company will advise the ED on the development of appropriate policies and security measures to protect these vital assets.

Current security measures include but are not limited to the following:

- Systems backup is maintained offsite and in the cloud.
- Available remote access to all systems and information.
- Contracted external IT support.
- Inventory of electronic equipment.
- Use of Passwords more fully described below.

### Use of Passwords as a Security Measure

Information is a valuable asset necessary to the delivery of services and mission fulfillment. The use of passwords is essential to protecting computer systems and data. Use of a password enables the organization to ensure accountability for all transactions. Each individual with access to computer systems is responsible for the selection, security and changing of their passwords.

- Staff have also been advised to the following additional considerations:
- Change your passwords every three-six months.
- Do not use the same password to access multiple company systems.
- If you believe or suspect that your password has been compromised, report this fact to your supervisor as soon as possible.

### Crisis Management

CASA-SNJ views emergency planning as essential to mission fulfillment. The organization's emergency plans reflect input from key organization personnel. Components of the plan include business continuity, crisis communications and facility evacuation. The components of the plan are outlined in the Crisis

Management and Communications Guidelines for CASA Programs in New Jersey. Additional components are detailed above in the Disaster Recovery Plan and Facility and Site Safety sections.

### Business Continuity Planning Policy

The Business Continuity Plan of CASA-SNJ will:

- help the organization fulfill its moral responsibility to protect employees, other stakeholders and the community in which we operate.
- facilitate compliance with regulatory requirements of federal, state and local agencies.
- enhance the organization's ability to reduce its financial losses, regulatory fines, damage to equipment or disruption to service delivery in the event of a business interruption.
- reduce exposure to civil or criminal liability in the event of an incident.
- enhance the organization's image and credibility with employees, clients, funders, vendors and the community.