ROADMAP FOR AUDIT SUCCESS

Preparation for Compliance Evaluation for the Charter Report for the Protection of Minors

This document is a stepwise outline of recommendations to prepare for the mandatory Compliance Evaluation report that all parishes and organizations must submit by 15 July 2018 for the current training year (1 July 2017 through 30 June 2018). [Unless otherwise stated, all references to "policy" applies to the *Policy and Procedures for the Protection of Minors*.]

1) **List your people:** Make a list of all employees and adult volunteers (including religious but not the priests or deacons since they are tracked by the chancery). Record them on a tracking sheet, either computer or manual. See a good example on the *DioceseofGallup.org* Website near the bottom under *Official Forms and Documents* and then go to Safe Environment Forms. The *Master Record for Tracking Requirements (Form)* is an Excel file which will download for your use. The *Master Record for Tracking Requirements (Instructions)* is a printed explanation of how to use the Excel form. This form can be easily modified to meet local needs as desired, but it shows of the requirements in a way that facilitates a visual accountability.
2) **Decide persons "affected":** Assess each volunteer as to which are **"**affected volunteers." That means that by the policy they must comply with the vetting and training requirements specified due to their position or work in the environment of minors.
3) **Create a repository for documentation:** Obtain a secure, lockable container or file cabinet, with a strict key control policy determining who has authorized access. Create a file folder for each individual employee and each "affected" adult volunteer. Go to Appendix XI and print the appropriate checklists depending upon the status of the persons. Attach the correct list to the folder. Record the contents of the folder on the list and note deficiencies that need attention.
4) **Update tracking document**: Post the information from the folders on your tracking spreadsheet (in #1 above).
5) **Compare reports:** Compare the mid-year (or final) training report from the Safe Environment Office (SEO) at the Chancery. Correct entries as required. Resolve discrepancies (see the document "Trouble Shooting the Training Report" for help.) Contact the SEO for assistance if necessary.
6) **Address deficiencies:** Initiate background checks for any that are missing or overdue (greater than 5 years). Check the documents in the folders against the lists and reports. Notify any person who is deficient in training and assist them to complete initial or ongoing training as required such as the monthly bulletins. You may want to have the individual print out their personal report from Virtus for your record or request a current printout from the SEO.
7) **Current Code of Ethics:** Get all employees to sign a current year Code of Ethics document and place it in their folder. (Volunteers only need to sign once.)

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8) **SET for Children:** Arrange sessions for age-appropriate Safe Environment Training (SET) for all children in all programs of catechesis and regularly scheduled programs for children. This includes the active youth leaders and altar servers, even if they are not in catechetical programs. Get permission forms from all the parents to allow the training (Opt-Out – Opt-In Form). Train all the children who have permission (Opt-In for the training). Remember that there are two options for this training for the younger children. Create a folder for each class. Print a checklist from Appendix XI to follow and make certain all the rosters of the class and the teaching sessions are placed in that file. Do not forget that parents who choose to "opt-out" for the training of their children must be offered SET materials so they may address the matter with their children themselves. Refusal or acceptance must be documented. Contact Dcn. Church, Director of the Office of Catechetical Ministry at the Chancery (or email: dcntchurch@dioceseofgallup.org) for questions about the training programs.

9) **Document special category minors:** Designated youth leaders and altar servers have special requirements. Each must have their own folder just like adults. Print the appropriate checklist from Appendix XI. As noted above, annual SET is required, and documentation should be placed in their folder. Remember that these youths require signed permission forms. See Appendix VII.

10) **Program Review:** Do Face-to-Face interviews with a random selection of employees and volunteers. See suggestions for this process in Appendix XIV. The purpose is to solicit information from representative individuals about how they view the current network of safety for minors at your facility. This should either confirm that safe practices are being followed or identify deficiencies. Some persons may even have suspicions or concerns that they will not speak about except in private. Document these interviews and keep a record for reporting purposes. The goal is 10% of the total adult staff and adult volunteers each year. Correct problems if investigation confirms.

11) **Prepare for the Test:** Review the draft of the "Compliance Evaluation" questionnaire. Check each question and be sure that the questions or requested information is clearly understood. Also, note if your current plans will result in a success when your numbers are tallied at the end of June. If there is confusion, contact the SEO to clarify the issues. Pre-fill all information that will not change so you have a head start when the final documentation is due. If you are not on track to meet the requirements, then change course with appropriate adjustments in the program or documentation.

Please do not hesitate to contact the SEO or the Chancellor's office to clarify any questions.

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