



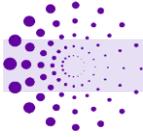
Managing Risk

Handouts

Volunteer Impact Leadership Training Series

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MANAGING RISK

Guide to Handouts



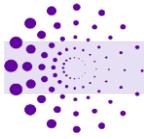
- H-1: Learning Objectives and Key Concepts
- H-2: Managing Risk – Overview
- H-2: Diagram of Process for Managing Risk
- H-3: Why Have a System to Manage Risk?
- H-4: Managing Risk - Policies
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- H-7: Risk Management Worksheet
- H-8: How to Handle Incident or Emergency Situation
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Attachments to Handouts

- Attachment A - Position Description for Activity

All of the information from the PowerPoint presentation is included in the handouts.
To follow the handouts along with the PowerPoint slides,
note the handout number on the lower right corner of the PowerPoint (“H-1” etc.).





Handout 1 Learning Objectives and Key Concepts

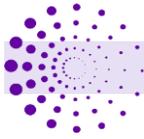
Learning Objectives

Upon completion of this module, participants will be able to:

1. Explain managing risk and appreciate its importance with the volunteers they supervise.
2. Discuss the agency's policies and procedures related to managing risk.
3. Identify and evaluate potential risks in the volunteer program and diminish these with preventive strategies and techniques of job design, screening, training and supervision, which address and minimize these risks.
4. Explain how to handle a liability incident or emergency situation within their organization.

Key Concepts of Managing Risk

1. Preventive managing risk is essential for all organizations serving the community.
2. All staff and volunteers need to be familiar with and follow established agency policies and procedures for managing risk.
3. All staff and volunteers need to understand potential risks unique to their organizations and know preventive strategies in job design, screening, training and supervision to address and minimize these risks.
4. Organizations need written/shared procedures regarding how to handle liability and emergency situations.



Handout 2 Managing Risk - Overview

Introductory Activity

- Every organization has its risks
- Insurance is not the full answer
- Managing risks lowers the probability of “human error” by or toward volunteers
- As we consider our risks, it is always important to weigh the extent of the risk, the importance of the activity and the opportunities to build in better risk management procedures.

Key Concept #1

Preventive risk management is essential for all organizations serving the community.

Managing Risk: Key Questions

- What is “risk management?”
- Why do we need a system to manage risk?
- What is at risk?

What is Risk Management?

Risk Management is a system to forecast risks in advance and take proactive steps to deal with identified risks.

Steps in Managing Risk (see next page for diagram):

- Identify risks (what might go wrong)
- Evaluate the risks (how likely is it to occur and what is the amount of potential harm)
- Control risks by choosing:
 - Stop or delay of activity until safe
 - Eliminate/diminish risk - change the way volunteers are screened, trained and supervised
 - Minimize harm - develop procedures to handle a disaster or emergency
 - Transfer liability - insurance policy, waiver, etc.

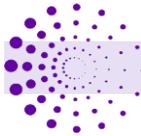
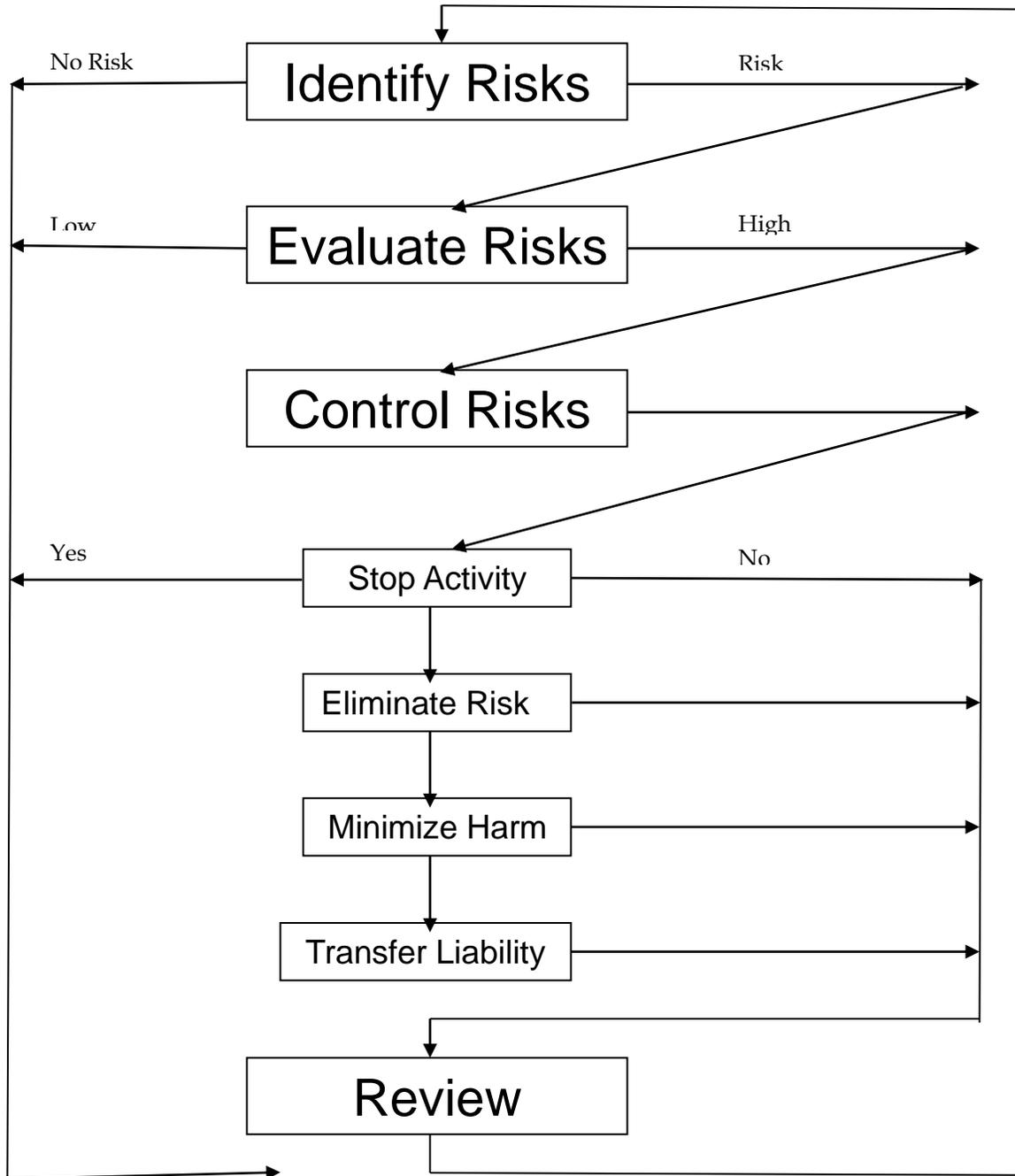
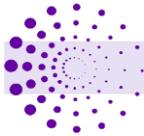


Diagram of Process for Managing Risk



Adapted From: McCurley, Steve and Rick Lynch. Volunteer Management: Mobilizing All the Resources of the Community. Heritage Arts Publishing: Downers Grove, IL.



Handout 3 Why Have a System to Manage Risk?

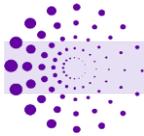
Why Have a System?

The ultimate benefits are protecting our agency, its clients, its staff and volunteers, and running a better program to meet our organization's mission. Potential liabilities include many of the risks that you noted as we began:

- Liabilities of the individual volunteer - Based on criminal behavior or breach of obligation to the organization
- Liabilities of the agency to the volunteer - Based on agency not protecting volunteer from harm of discrimination, injury on job, etc.
- Liabilities to the agency due to action by volunteers - Based on a volunteer's acting within or outside of the scope of their volunteer duties and/or failure to use proper care when selecting training and supervising volunteers

What's at Risk?

- People
- Property
- Income
- Goodwill
- Mission
- What else?



Handout 4 Managing Risk - Policies

Key Concept #2

All staff and volunteers need to be familiar with and follow established agency policies and procedures for managing risk.

What Will Policies Do For Us?

- Establish a standard for behavior, a common body of knowledge
- Support necessary requirements
 - (Example: volunteer mentors requiring criminal checks)
- Provide valuable orientation and training
- Help ensure operational consistency
- If sued, policies will strengthen an organization's case

Sampling of Policies and Procedures

- Complaints and Due Process
- Suspension and Dismissal of Volunteers
- Screening Policies for Volunteers
- Required Training
- Confidentiality of Client Information
- Who Can Volunteer?
- Working Conditions
- Financial and Operations Controls
- Emergency Procedures
- Handling of Media
- Social Media

Tips for Developing Volunteer Policies

- See examples of policies in the MAVA Members Only section of the MAVA website under "Member Resources."
- Contact an organization with a similar focus and ask if they would share their policies
- Once drafted, ask your agency's legal counsel to review

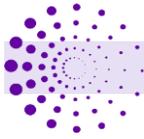
Questions to Address in Policies on Risk Management

- What is the mission of our risk management program?
- How can the risk management program contribute to the overall mission of our organization?
- What actions can our staff members and volunteers regularly take to manage risk?
- Who will oversee our risk management efforts, and what will be this person's responsibility?

Policies and procedures are important if you want to control risks.

Policies should be: made, followed, and reviewed and updated, as needed





Handout 5 Managing Risk - Preventive Strategies

Key Concept #3

All staff and volunteers need to understand potential risks unique to their organizations and know preventive strategies in job design, screening, training and supervision to address and minimize these risks.

Volunteer positions have varying levels of risk and therefore will have differing risk management strategies associated with them.

Level of Risk in Volunteer Roles

Low Level

- Light occasional clerical work done during office hours
- Group-based sessions with competent adults in public places
- Collating “party” with competent volunteers and staff present

High Level

- Unsupervised “mentoring” between volunteer and vulnerable client (elderly, disabled, youth)
- Overnight visits by vulnerable individuals at volunteers’ homes
- Health or personal care given to elderly in their homes by individual volunteers

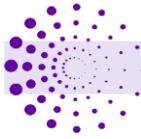
Once the risk factors are identified in a volunteer position, preventive strategies should be developed in the written job design and in screening, orientation, training and supervision of that position.

1. Position Description

A written position description is the foundation for successful volunteer selection because it aims at eliminating the risks that result when you have an unqualified person in a position.

Written Position Descriptions Reduce Risk

- Establishing and communicating what a person is expected to do and not do.
- Focusing on qualifications for the position, thus indicating that ability will be a significant selection criterion
- Serving as a tool to assess risks and choosing the proper level of screening
- Providing documentation, when necessary, to show that a volunteer acted outside of his/her assigned duties
- Establishing limitations and barriers (e.g., maximum time with client, location and supervision requirement) that may discourage undesirable individuals from entering your program



2. Screening Volunteers

Tips on Screening Volunteers - (See H-6 for examples of screening elements related to position requirements)

- Using a structured procedure of screening replaces haphazard and potentially arbitrary decisions with a fair and defensible method.
- Use a written position description and do personal interviews.
- Multiple screening (interviewing by separate individuals) may increase chances of revealing suspicious responses.
- Ask questions in different ways; verify some information, if warranted.
- Gather all data before making final judgments.
- Do not collect information you can't evaluate.
- Make certain that information you gather is necessary and appropriate for the position.
- Be consistent: all volunteers for the same position should be screened alike using the same set of interview questions.

Consideration of Criminal Background Checks

- Necessity of background check – Does position require one-on-one contact with client?
- Usefulness of information – Only a fraction of crimes result in an arrest and conviction. Data is often incomplete due to reporting from states and localities.
- Organizational burden – Background checks are expensive and developing, reviewing and storing documents takes staff time and effort.
- Only one component of screening process – Does not ensure candidate is appropriate and of itself shield the agency from potential liability.

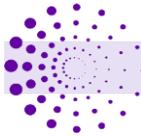
Resources for Background Checks - See “Websites” in the resources in Handout 9

Screening Shorter Term Volunteers

- Do not sacrifice good risk management to involve volunteers in shorter term positions.
- If the screening needed for a volunteer position is not feasible to invest in for a shorter term volunteer, reserve the role for volunteers who can make the time commitment that fits with the risk management needed.

3. Tips on Orientation, Supervision and Evaluation

- Clarify expectations and organizational values with volunteers.
- Provide written information regarding personnel, risk management and other pertinent volunteer policies to enhance the competency of the volunteer doing the job.
- Provide information on statutes related to their work, such as the Minnesota requirement to report if there is reason to believe a child or vulnerable adults has been abused or neglected and Minnesota Data Practices Act.
- Maintain oversight and assistance (supervision) to all volunteers so that they are empowered to do an effective job.
- Give volunteers timely and effective feedback so that their behavior is reinforced or changed.
- Proceed with volunteer dismissal if warranted.
- Do not assign new work to volunteers who have not been adequately screened or prepared.



Handout 6 Screening Elements

A Tool to Evaluate Most Important Screening Elements to Use for a Specific Position

On left, write in position requirements for a position you need to determine how to best screen for risk. Then rate how important each of the screening elements is for that position requirement.

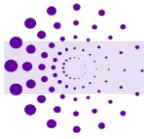
Screening Elements Tool

Position Requirements (Examples - write in your own)	Position Description	Application	Interview	Orientation	Reference Checks	Motor Vehicle Reference Checks	Criminal Background Checks	Psychological and/or medical Tests	Home Visit	Other
Unsupervised contact with vulnerable client										
Access to confidential client information										
Transportation of vulnerable clients										
Handling organization's or client's funds										
Long-term contact with vulnerable client in live-in situation										
Extreme physical exertion on a remote setting with children										
Visit to clients' homes										
Supervised client contact in groups, public setting										
Helping clients change clothes, bathe, or with other personal activities										
Coaching sports in which physical contact between adult and child is routine										
Delivery of meals to clients' homes										

Adapted from:

Patterson, John, Charles Temper and Pam Rypkema. *Staff Screening Tool Kit: Keeping the Bad Apples Out of Your Organization*. Washington D.C.: Nonprofit Risk Management Center.





**Handout 7
Risk Management Worksheet**

Volunteer Position:

Position Qualifications:

Potential Risks Inherent in Position:

Steps to Manage Risk

Position Description:

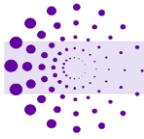
Screening Process:

Orientation Information:

Training Needs:

Supervision/Evaluation System:





Handout 8 How to Handle Incident or Emergency Situation

Key Concept #4

Explain how to handle a liability incident or emergency situation within their organization.

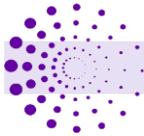
Organizations need to have written/shared procedures regarding how to handle a potential liability incident or an emergency situation

Even the best procedures and programs are not guaranteed to evade all accidents or crises. The important thing is to have clearly understood methods of handling these situations so as to protect and support all individuals involved.

Do You Know?

- how to act in an emergency?
- how to deal with a person injured on the premises?
- how to preserve physical evidence?
- how to record your recollections?
- how to discuss a liability incident with police, the media, etc.?
- who to notify in case of an emergency?
- what procedures to follow in a natural disaster?

If you have written policies regarding these areas, share, review and/or update them with staff and volunteers within your organization. If they are not fully developed, begin to create them and develop a Fact Sheet, which includes: What to do/not do, who to call, etc., in emergencies.



Handout 9 Suggested Reading Resources

Websites

For information on background checks through the Minnesota Bureau of Criminal Apprehension (BCA) see <https://dps.mn.gov/divisions/bca/Pages/background-checks.aspx>. An FAQ on background checks from the BCA is at: <https://dps.mn.gov/divisions/bca/Pages/criminal-history-general-information.aspx>

For information on background checks available for MAVA members through the McDowell Agency, visit the MAVA website (www.mavanetwork.org) under Resources>Screening https://www.mavanetwork.org/content.aspx?page_id=22&club_id=286912&module_id=352135

For information on Minnesota statues authorizing background checks, see <http://www.house.leg.state.mn.us/hrd/pubs/bkgdchck.pdf>

For a range of resources on volunteer risk management from the Nonprofit Risk Management Center, <https://nonprofitrisk.org/resources/>

For a variety of articles on volunteer risk management see: https://www.energizeinc.com/how_tos_volunteer_management/risk_and_liability

For MAVA Members – see the Members Only Resources – Sample Volunteer Management Resources at <http://www.mavanetwork.org> for examples of volunteer handbooks and a PowerPoint on developing a volunteer handbook

Articles

Head, George L., “Tempting But Confusing and Dangerous: Paying Volunteers “Just a Little Something,” Nonprofit Risk Management Center. <http://www.nonprofitrisk.org/library/articles/volunteer052004.shtml>

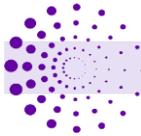
Henry, William R. “Volunteers’ Most Common Accidents – and How to Avoid Them.” *e-Volunteerism: The Electronic Journal of the Volunteer Community*. Vol. IV, Issue 1 October-December 2003. <http://www.e-volunteerism.com/quarterly/03oct/03oct-henry>

Kelly, Siobhan, “Risky Business: There’s Liability for the Acts of Your Volunteers,” *The Non-Profit Times*, June 4, 2014. <http://www.thenonprofittimes.com/news-articles/risky-business-theres-liability-acts-volunteers/>

Oliver, Barbara B., “Keeping Volunteers Safe from Harm: Street Smarts for Unfamiliar Turf,” Nonprofit Risk Management Center. <http://www.nonprofitrisk.org/library/articles/volunteer05002002.shtml>

Pitney, Nicole, “Safeguarding Volunteers with Effective Risk Management,” *Nonprofit Quarterly*, July 2013. <http://nonprofitquarterly.org/2013/07/31/safeguarding-volunteers-with-effective-risk-management/>





“State Liability Laws for Charitable Organizations and Volunteers,” Nonprofit Risk Management Center, <https://nonprofitrisk.org/downloads/state-liability.pdf>

Tremper, Charles and Gwynne Kostine, “Step 2: Volunteer Screening.” <http://www.energizeinc.com/art/anos.html>

“Who’s Lending a Hand,” A national volunteer survey of screening practices from the National Center for Victims of Crime. <http://www.victimsofcrime.org/docs/Public%20library/who's-lending-a-hand.pdf?sfvrsn=10>

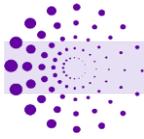
Books

Excellent resources can be ordered from: Nonprofit Risk Management Center, 204 South King Street, Leesburg, VA 20175 703-777-3504, www.nonprofitrisk.org. Contact them for an updated listing of resources in the field of liability. The following ones are especially recommended to complement this module:

- *No Surprises: Harmonizing Risk and Reward in Volunteer Management*, by Melanie Herman and Peggy Jackson, 2009. Available for order from Amazon (\$15.97, used copy) <http://www.amazon.com/No-Surprises-Harmonizing-Volunteer-Management/dp/1893210235>
- *Staff Screening Tool Kit: Keeping the Bad Apples Out of Your Organization*, by John Patterson, Charles Tremper and Pam Rypkema, 1994. Available for order from Amazon (\$39.95) <http://www.amazon.com/Staff-screening-tool-kit-organization/dp/0963712012> or <http://eric.ed.gov/?id=ED379091> (\$15, plus \$3 shipping and handling)

Available from www.energizeinc.com:

- Graff, Linda L. *By Definition: Policies for Volunteer Programs*. Dundas, ON: Linda L. Graff & Associates, 1997. Available for order from Linda Graff and Associates (\$35 hard copy, e-book or book on CD with introductory video) or through <https://www.energizeinc.com/store/definition> (\$10 e-book only)
- Graff, Linda L. *Better Safe....Risk Management in Volunteer Programs and Community Service*. Dundas, ON: Linda L. Graff & Associates, 2003. Available for order (\$20 e-book only) https://www.energizeinc.com/store/better_safe
- McCurley, Steve and Rick Lynch. “Sample Volunteer Management Policies.” Appendix 4 in *Volunteer Management: Mobilizing all the Resources of the Community*, revised ed. Kemptonville, ON: Johnstone Training and Consultation, Inc., 2011. Available for order (\$29 e-book only) https://www.energizeinc.com/store/volunteer_management_mobilizing_all_resources_community



Attachment A: Volunteer Position Description for Activity

Instructions: Working in a group:

- Circle places in the below position description that address risk management.
- Discuss ways the position description could be made stronger for risk management.

Volunteer Job Description

Job Title: Advocacy Assistant

Supervisor: Advocacy Coordinator: Sally Jones

Objective: Be involved with a group of individuals with developmental disabilities to discuss advocacy issues such as: their rights, responsibilities, choice, freedom etc. The group meets twice a month at our office building. In the past, this group has worked on creating their own “Bill of Rights.” They created a packet of information about their rights and created a video that accompanies the packet.

Responsibilities: Volunteers can help with developing the curriculum of the group or just help with the advocacy of the rights of people with developmental disabilities.

Qualifications: Caring individual who would like to help with an advocacy group. Volunteer should have a good attitude and be a team player. The volunteer candidate will need to pass a background check and may need to have a valid driver’s license.

Training and Preparation for the Job: All volunteers will go through orientation. They will learn the agency history and the current agency philosophy. Volunteers will also receive Vulnerable Adult Training. Other training includes a description of the volunteer program, volunteer policies and procedures, and information about the residents and staff that you will need to know.

Benefits: You will impact a community’s quality of life, build self-esteem and confidence, improve health, enjoy several activities, feel needed and valued, make a difference in someone’s life, and express gratitude for help received in the past from an organization. Many professional contacts will be made, new skills will be learned, and important work experience will take place.

Commitment: at least 6 months

Evaluation: At the end of the time commitment, the staff supervisor for this position will evaluate how the volunteering has gone. The volunteer will have a chance to evaluate his/her experience as well. At this time, the volunteer(s) can decide whether to continue to help with (Volunteer position) in the future, try a new volunteer experience, or terminate their involvement with our agency

Name: _____

Date: _____

Signature: _____

