

SHICK



Senior Health Insurance
Counseling for Kansas

Volunteer Risk & Program Management Policies

Table of Contents

Useful Abbreviations and Acronyms	5
Definitions of Terms.....	6
Section 1.0: Introductory Volunteer Engagement Policies	8
Section 2.0: Risk Management, Health and Safety	10
Section 3.0: Volunteer Program Management Infrastructure	13
Role Design.....	15
Recruitment	17
Screening.....	18
Placement	22
Orientation and Training.....	23
Performance Management.....	24
Volunteer Behavior, Performance and Roles	30
Retention and Recognition	35
Section 4.0: Information Technology	37

SHIP Background

The State Health Insurance Assistance Program (SHIP) was created under Section 4360 of the Omnibus Budget Reconciliation Act (OBRA) of 1990 (Public Law 101-508). It is also known as Title 42 of the United States Code, section 1395b-4: Health Insurance Information, Counseling and Assistance Grants. This section of the law authorized the Secretary of Health & Human Services (HHS) to make grants to states to establish and maintain health insurance advisory service programs for Medicare beneficiaries. Grant funds were made available to support information, counseling, and assistance activities relating to Medicare, Medicaid, and other related health insurance options such as: Medicare supplement insurance, long-term care insurance, managed care options, and other health insurance benefit information. The Consolidated Appropriations Act of 2014 transferred the SHIP program from the Centers for Medicare & Medicaid Services (CMS) to the U.S. Administration for Community Living (ACL). The SHIP program was placed under ACL's Center for Integrated Programs, Office of Healthcare Information and Counseling. This office also oversees the Medicare Improvements for Patients and Providers (MIPPA) program.



LOCAL HELP FOR PEOPLE WITH MEDICARE

What is SHICK?

People with Medicare often have questions about health insurance. Frequently they have limited resources to obtain objective information. Many need information and assistance regarding their decisions in the following areas:

- What kinds of benefits would suit their needs;
- What type of health insurance coverage they should have;
- How much health insurance coverage they should have;
- How to take advantage of the coverage they already have.

Some people with Medicare have problems such as the following:

- They don't know what to do about rising health insurance premiums;
- They are overwhelmed with claims paperwork, and they don't know what they owe and what they don't owe;
- They can't afford the cost of prescription medications;
- They don't know where to get help with their health insurance problems and other problems.

To help with these needs, Congress created State Health Insurance Assistance Programs (SHIPs). The State Health Insurance Assistance Program, or SHIP, is a state-based program that offers local one-on-one counseling and assistance to people with Medicare and their families. Through CMS funded grants directed to states, SHIPs provide free counseling and assistance via telephone and face-to-face interactive sessions, public education presentations and programs, and media activities. There is a SHIP in every state as well as in Guam, Puerto Rico, the Virgin Islands, and the District of Columbia. Senior Health Insurance Counseling for Kansas (SHICK) is the SHIP for Kansas.

Mission

SHICK educates the public and assists consumers on topics related to Medicare and health insurance so they can make informed decisions.

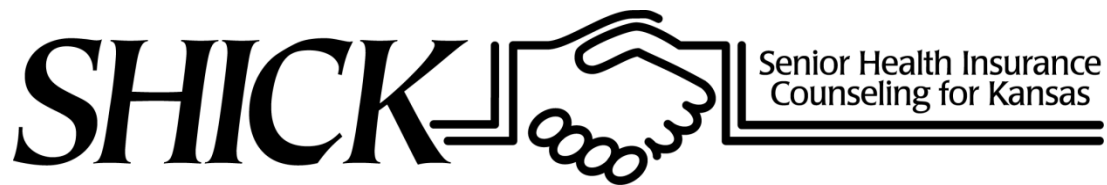
Two Primary Services Support the SHICK Program's Mission:

1. Information and Education.

Consumer education, provided in several ways, reaches a broad section of the population. Consumer education services provide objective information about Medicare A, B, C, & D, Medicare supplement insurance, long-term care insurance, prescription drug assistance, receiving Medicare through managed care plans and other insurance-related topics. Consumers receive information through public forums, presentations to organizations and groups, displays, radio, television, and a variety of printed materials.

2. One-on-One Counseling.

One-on-one confidential sessions with trained counselors focus on specific information or problems. Individual counseling sessions are an effective way to objectively provide information on health insurance coverage, claims assistance, and referrals to appropriate agencies. Individual decision-making and problem-solving are always supported.



Useful Abbreviations and Acronyms

KDADS: Kansas Department for Aging and Disability Services.

ACL: The Administration for Community Living, an operating division within the federal Department of Health and Human Services with headquarters in Washington, DC and regional offices in ten cities.

AAA: An Area Agency on Aging (AAA) is responsible for planning and delivery of services under the Older Americans Act for a geographic region within a state.

CMS: The Centers for Medicare & Medicaid Services (CMS) administers the Medicare program and oversees state administration of the Medicaid programs. The Center for Program Integrity is a bureau within CMS that works with various contractors to identify potential fraud, waste and abuse in the original, fee-for-service Medicare program. The Center for Drug and Health Plan Choice is responsible for overseeing the Medicare Advantage (Part C) and Medicare Prescription Drug (Part D) programs.

SHIP: The State Health Insurance Assistance Program (SHIP) is an HHS-funded network of state-based programs that provide one-on-one counseling to people with Medicare and their caregivers. All 50 states and four territories have a SHIP. SHICK is Kansas' SHIP.

SHIP NPR/STARS: The online national reporting system that SHICK uses to report client contacts, public education and outreach activities.

Definitions of Terms

Harassment

Harassment is any behavior that demeans, humiliates, or embarrasses a person, and that a reasonable person should have known would be unwelcome. It includes actions (e.g. touching, pushing), comments (e.g. jokes, name-calling), or displays (e.g. posters, cartoons). It may be a single incident or continue over time. Harassment is also a breach of human rights on protected grounds such as race, religion, color, national origin, gender, gender identity, sexual orientation ancestry, mental or physical disability, medical condition, disability, political activity, marital status, or age.

Disrespectful behavior, also known as "personal" harassment, is prohibited in the SHICK program. While it also involves unwelcome behavior that demeans or embarrasses someone, the behavior is not based on one of the prohibited grounds named above. Abuse of authority, also prohibited by the SHICK program, occurs when a person uses authority unreasonably to interfere with a person or their work. It includes humiliation, intimidation, threats, and coercion. It does not include normal managerial activities, such as counseling, performance evaluation, and discipline, if these are not being done in a discriminatory manner.

Human rights

Human rights are considered inherent to all human beings, and generally include the following areas: race, religion, color, national origin, gender, gender identity, sexual orientation ancestry, mental or physical disability, medical condition, disability, political activity, marital status, age, privacy, rights of the accused, freedom of expression, and more.

In-kind staff

Employees of other organizations who perform SHICK-connected work as part of their own ongoing paid work responsibilities – often referred to as “in-kind staff” – are not considered SHICK volunteers for the purposes of these policies because they do not work under the control (but are considered partners) of the sponsoring organization. The hours contributed by these employees may be recorded in the SHIP national data reporting system.

Positions of trust

A position of trust involves access to at least one of:

- Beneficiaries or other vulnerable people, such as family members;
- Personal or confidential information;
- Money or other valuables.

Examples of volunteer roles that are likely to be positions of trust include:

- Call center operator;
- SHICK Counselor;
- Exhibitor;
- SHICK Coordinator;
- Presenter;
- Team Lead;
- Administrative Support Aide;
- Trainer.

Any other volunteer roles may also, or from time to time, be considered positions of trust as responsibilities change or where the conditions under which the work is done require it. For example, any volunteer roles in which home visits occur would also qualify as a position of trust. Volunteer roles may also qualify as positions of trust due to the nature of the client.

Positions of trust are subject to significantly more rigorous screening inquiries.

SHICK duties

SHICK duties can include one-on-one counseling, presentations to the public, data entry and program reporting, program outreach, and other activities as detailed in Section 1.4.

Social media

Social media includes all means of communicating or posting information or content of any sort on the Internet, including to your own or someone else's web log or blog, journal or diary, personal web site, social networking or affinity web site, web bulletin board or a chat room, if associated or affiliated with SHICK, as well as any other form of electronic communication.

Volunteer

A "volunteer" is anyone who, without coercion or compensation or expectation of compensation beyond reimbursement of reasonable and previously approved expenses incurred during his or her volunteer duties, performs a task at the direction of and on behalf of the SHICK program or sponsoring organization.

A "volunteer" is one who is officially accepted and enrolled by the SHICK program prior to performance of any task.

Unless specifically stated, volunteers are not considered "employees" of the SHICK program.

Employees of other organizations who perform "in-kind" SHICK work are not considered volunteers under these policies.

Sponsoring organization

A “sponsoring organization” is any third-party organization engaged in recruiting and/or managing volunteers performing SHICK duties. Sponsoring organizations may be formally contracted to deliver SHICK programs or may be doing so through informal partnership arrangements with the SHICK program.

The KDADS Medicare Grants staff is responsible for ensuring that sponsoring organizations comply with all relevant policies governing the management and engagement of volunteers performing SHICK duties through or under the auspices of sponsoring organizations.

Section 1.0: Introductory Volunteer Engagement Policies

These policies set the stage for volunteer engagement within the SHICK (Senior Health Insurance Counseling for Kansas) program and provides context for the policies that follow in subsequent sections.

1.1 Overall policy on engagement of volunteers

Policy: Kansas Department for Aging and Disability Services (KDADS) accepts and encourages the involvement of volunteers at a range of levels and within all appropriate projects and activities. Involvement of volunteers is a requirement of SHICK. Volunteers are an integral part of SHICK and are essential to effective delivery of SHICK services to beneficiaries. Volunteers contribute unique talents, time and knowledge, complementing the skills and dedication of SHICK paid staff.

1.2 Scope of the volunteer policies

Policy: Unless specifically stated, these volunteer policies apply to all volunteers in all programs and projects undertaken by or on behalf of SHICK, including volunteer involvement that is organized and managed in SHICK sponsoring organizations. The pivotal variable in the application of these volunteer policies is volunteers’ performance of SHICK duties. Where volunteers are clearly performing what could reasonably be called SHICK duties under the direction and control of sponsoring organizations/KDADS, those volunteers and their coordination are subject to the provisions of these volunteer policies. Noncompliance creates potential risk to volunteers themselves and/or beneficiaries and potential liability for the sponsoring organization/KDADS.

1.3 Compliance

Policy: Volunteers are made aware of all volunteer policies by local sponsoring organizations. Not knowing a policy is not acceptable if the policy has been communicated and the volunteer was made aware. SHICK volunteers are expected to conduct their work with a view of the larger picture of what is in the best interests of the majority of SHICK beneficiaries, the integrity of SHICK programming, and the long-term reputation and sustainability of SHICK itself. A

Memorandum of Understanding acknowledging volunteer's awareness of these policies is signed annually. Compliance with all SHICK volunteer policies is a minimal expectation of SHICK volunteers. Organizations and their volunteers exist as a team in which each of the partners brings resources to their mutual effort and each of whom possesses rights and interests that deserve protection. Volunteers have an obligation to read, understand, and implement the requirements set out in policies for the volunteers and to stay current with any updates to the policies. This policy shall serve as fair warning to volunteers that failure to comply with SHICK policies is subject to discipline through the local sponsoring organization. Discipline may include reduction in duties, up to and including dismissal.

1.4 Volunteer Role Classifications

The exact number and kind of volunteer roles will be determined by KDADS Medicare Grants staff. Volunteers may be qualified to serve in one or more role(s).

Examples of SHICK volunteer roles include, but are not be limited to, the following:

1. **Administrative support aide:** This role involves such work as copying, filing, data entry, and placing outbound phone calls in support of Medicare Grants activity. Volunteers who work in this role do not take inbound phone calls or field questions from the public. It is a position of trust.
2. **Information Distributor:** This role involves transporting and disseminating Medicare Grants information materials to sites and events, and may include presenting prepared copy or performing scripted activities for small groups. Volunteers who work in this role do not engage in discussions with others about personal information or situations. It is not considered to be a position of trust.
3. **Exhibitor:** This role involves staffing information kiosks or exhibits at events such as health fairs. Volunteers who staff exhibits provide general information about Medicare Grants to the public and answer simple inquiries. It is a position of trust.
4. **Presenter:** This role involves giving substantive presentations on Medicare Grants topics to small and large groups, with the opportunity for interaction with the audience during time set aside for Q & A and discussion. It is a position of trust.
5. **Counselor:** This role involves direct discussion with beneficiaries about their individual situations and may include review of personal information such as Medicare Summary Notices, billing statements and other related financial and health documents. May include handling complex issues and referrals. Volunteers who service in this role may act on behalf of a beneficiary to correct an error or refer suspected fraud and abuse to appropriate authorities. It is a position of trust.

Sponsoring organizations may create volunteer positions and related position descriptions that incorporate more than one role. When new roles are created, care is taken to determine the

risks connected to the new role and to design appropriate role descriptions, screening, training, and supervisory procedures.

1.5 Policy Changes, procedure and point of contact

Policy: Amendments, additions, updates or exceptions to the Kansas SHICK volunteer policies may only be issued or granted by KDADS. All requests to amend, add to, update, or grant exceptions to the policies must be submitted in advance and in writing to the State SHICK Office. Questions from volunteers, staff, or affected partners regarding interpretation of these policies should be addressed to the KDADS Medicare Grants Director or Medicare Grants staff for clarification.

Section 2.0: Risk Management, Health and Safety

The safety of SHICK personnel is paramount. SHICK strives to operate a health-and-safety-conscious work environment and deliver safe and reliable services to its beneficiaries. The sponsoring organizations are responsible for the safety and well-being of volunteers just as they are for the safety and well-being of their paid personnel.

2.1 Risk assessment

Policy: Every three years the KDADS Medicare Grants staff will conduct a risk assessment on the roles, work, and activities of SHICK volunteers. Risk assessments identify risks, assess their magnitude, and re-examine the measures that SHICK already has in place to control and mitigate risks.

Also assessed regularly about risk are: training and qualification procedures, volunteer performance management, volunteer program management processes and activities, and volunteer worksite(s).

Risk management strategies are implemented as needed, including local-level procedures that identify, prevent, and reduce the incidence and impact of risk.

2.2 Insurance

Policy: Volunteers are encouraged to consult with their own insurance agents regarding the extension of their personal insurance to include community volunteer work.

2.3 Automobile insurance coverage

Policy: Volunteers are advised to notify their own automobile insurance provider about their SHICK driving activities and ensure coverage is in place and provides adequate protection. SHICK volunteers who drive their own vehicle for SHICK work purposes are required to carry liability coverage on any vehicle so used. The cost of this insurance is borne by the volunteer.

Automobile insurance coverage is verified at least annually by each SHICK volunteer signing off on the Memorandum of Understanding (MOU) done at annual training. The signed certification is retained in the SHICK volunteer's file. Volunteers immediately notify their local Coordinator if their automobile insurance coverage lapses.

2.4 Safety awareness

Policy: SHICK volunteers are informed by the sponsoring organization of foreseeable hazardous aspects, materials, equipment, or processes they may encounter while performing volunteer work and are made aware of methods to deal with all identified risks. Volunteers exercise caution in all work activities. Volunteers who violate safety standards, who cause hazardous or dangerous situations, or who fail to report such situations to their local SHICK coordinator are subject to disciplinary action, up to and including dismissal.

2.5 Reporting of abuse

Policy: It's a mandatory for SHICK volunteers who witness instances of physical, psychological, sexual, financial or verbal abuse of consumers while performing their assigned duties report this to their local SHICK coordinator, so that appropriate follow-up action may occur.

2.6 Privacy and location of counseling

Policy: Face-to-face work with individual beneficiaries primarily takes place at SHICK offices (or those of partner agencies). Where beneficiaries are unable to travel to the SHICK sponsoring organization's office, volunteers discuss with their coordinator alternate meeting arrangements that will maintain beneficiary privacy. Off-site counseling work is not undertaken by volunteers without prior approval from their local SHICK coordinator.

When one-on-one information is requested by an audience member at a public presentation, SHICK volunteers provide only general information and do not gather personal, financial, or other confidential information from the beneficiary. Inquiries that involve the collection of such personal, financial or other confidential information are referred for a more formal counseling session in an appropriately private location.

2.7 Home visits

Policy: When home visits by SHICK volunteers to a beneficiary's residence are determined to be necessary, the local SHICK sponsoring organization is required to have protocols in place to ensure the safety of the volunteers and the beneficiaries involved. Any volunteer work that takes place in a potentially isolated, unregulated, or unsupervised environment, out of range of other SHICK personnel and/or supervisory staff, represents increased risk to the SHICK volunteer.

The SHICK volunteer should decide to meet the beneficiary in a safe and secure public place that also provides an environment suitable for the exchange of confidential information, such as a neighborhood library, or by arrangement with a sponsoring organization located more

conveniently for the beneficiary. When home visits by SHICK volunteers to a beneficiary's residence are determined to be necessary, the grantee is required to have protocols in place to ensure the safety of the volunteers and the beneficiaries involved. The following are examples of protocols that could be used:

- Visits are made in pairs (two volunteers or a volunteer and a staff member);
- Notice of the visit is provided to the "on-alert" SHICK Coordinator along with travel start and projected return times, beneficiary name, address, and phone number;
- At least one of the two visitors have a charged and working cell phone;
- The availability of cell phone or land line coverage is checked before entering the home; where phone coverage does not exist, the visit is cancelled;
- Volunteers who do not feel comfortable as they approach the home, or who become uncomfortable or threatened during a visit, terminate the visit in a non-confrontational manner and report the event to their SHICK Coordinator as soon as possible;
- Visiting volunteers notify the on-alert SHICK Coordinator immediately upon their return from the visit;
- If return of the volunteers is overdue by more than 15 minutes, the on-alert SHICK Coordinator attempts to contact the visiting staff by cell phone as pre-arranged; two attempts to reach the visiting staff are made at five-minute intervals;
- Failure to reach the visiting volunteers after two attempts triggers further action as required, including, for example, calling the beneficiary's home, notification of authorities, and/or 911 contact.

2.8 Incident reporting

Policy: Any accident or injury to or by a volunteer is reported immediately to the SHICK Coordinator and then the local SHICK Coordinator shall notify the KDADS Medicare Grants Director. An "incident" may include, but is not limited to, an error in judgment, other misstep, or substandard performance (particularly in relation to provision of services to beneficiaries), lost possession, boundary breach, offensive remark, or sense of risk or peril while on duty. The incident reporting form and protocol exist. Volunteers complete required incident reporting form by close of business that day (if possible).

2.9 Incident response

Policy: In response to a reported incident involving SHICK volunteers, the local SHICK Coordinator ensures/oversees the notification of relevant authorities (e.g., KDADS Medicare Grants staff, police, public health, insurance, etc.) as appropriate and undertakes subsequent steps necessary to respond to and resolve the incident.

2.10 Emergency contact procedures

Policy: The SHICK sponsoring organizations has emergency contact information on all of its volunteers – even short-term volunteers – and a procedure that enables volunteers to

communicate with the SHICK Coordinator or other supervisory personnel from the sponsoring organization at any time volunteers are on duty. Response to emergency communications takes place without delay. Volunteers should be able to reach their SHICK Coordinator or another sponsoring organization authority in the event of an incident, danger, or substantive programming question while on duty. It is equally critical that the organization can reach the volunteer in the event of a change of schedule or other event that requires off-hours contact.

2.11 Disaster plan

Policy: The SHICK sponsoring organization must have a plan for dealing with natural disasters, including flood, tornado, earthquake, and pandemic. This plan includes a communication plan for alerting volunteers who might be engaged in performing SHICK work in affected communities.

Section 3.0: Volunteer Program Management Infrastructure

3.1 Fair and equitable application

Policy: SHICK policies guiding volunteer program management apply equally to all SHICK volunteers, and compliance with these policies is a condition of continued volunteer involvement in the SHICK program. It is critical that such policies be applied fairly and equitably with all volunteers.

3.2 Community representativeness

The SHICK program strives to develop a volunteer population that mirrors the diversity of the community in which it operates. The more representative a volunteer population is of the population within the area that it serves, the easier it is to reach out to new volunteers and be effective in serving all constituencies.

3.3 Service at the discretion of KDADS

Policy: The SHICK program accepts the service of volunteers with the understanding that such service is at the sole discretion of KDADS. Volunteers acknowledge that KDADS may at any time decide to terminate the volunteer's relationship with the SHICK program or to make changes their volunteer assignment(s). At the same time, volunteers may, at any time and for any reason, resign from the SHICK program.

3.4 Volunteer permissions and responsibilities

Policy: Volunteers are viewed as a valuable resource to the SHICK program, its staff, and its beneficiaries. Volunteers should be given meaningful assignments, treated as equal co-workers, given effective supervision, be informed about significant matters affecting their roles and given recognition for work done. In return, volunteers agree to actively perform their duties to the best of their abilities, comply with these Volunteer Policies and other work-related direction and provisions, and remain loyal to the values, goals and procedures of the SHICK program.

3.5 Volunteer program management system

Policy: KDADS ensures that an infrastructure is in place to support volunteer involvement and volunteer program management that, together, create effective, productive, safe, and rewarding volunteer involvement.

The volunteer program management system includes, but is not limited to:

- communication system;
- reporting and accountability system;
- program evaluation system;
- performance management system;
- risk management system;
- operating budget;
- staff resources;

3.6 KDADS Medicare Grants staff

Policy: The KDADS SHICK program staff must supply sponsoring organizations with volunteer training materials and updates received from ACL, CMS and other sources. The KDADS Medicare Grants staff is involved in all significant SHICK decisions likely to affect volunteers and the volunteer program management system.

3.7 Resources for volunteer support and involvement

An annual budget for the volunteer management unit is formulated based on the amount of available federal funds. The volunteer program management budget provides for space, financial resources and support staff to operate the SHICK program in an effective manner.

3.8 Maintenance of records

Policy: A system of records is maintained on each volunteer by the State SHICK Office, including, but not necessarily limited to:

- application and related information gathered in the screening process;
- dates of service;
- positions held;
- training and orientation received;
- duties performed and achievements attained;
- performance records including appropriate documentation of any performance issues;
- awards received;
- record of exit;
- current contact information.

Accurate and current records regarding volunteers are essential to a volunteer program because they provide the data that allows for continuous and consistent supervision, even if there is staff turnover. Volunteer personnel records are accorded the same confidentiality as staff personnel records. Volunteer records are kept in a secure location as per confidentiality requirements and requests for information contained in the records are approved as appropriate by KDADS.

3.9 Volunteer access to personal record

Policy: Upon reasonable notice, volunteers may examine the contents of their own personal file. Volunteers wishing to access their files shall contact Medicare Grants staff at KDADS. Inactive files will be maintained for seven years after the volunteer ceases to involvement with the SHICK volunteer program.

3.10 Evaluation of the volunteer involvement and the volunteer program management system

Policy: The local SHICK Coordinator shall conduct regular reviews of both volunteer involvement and the infrastructure in place to support volunteer involvement in the SHICK program. All volunteers shall work cooperatively with the local SHICK Coordinator during reviews. The local SHICK Coordinator provides periodic reports to their appropriate Medicare Grants staff at KDADS on current operations and future needs. These evaluations may include feedback from both volunteers and paid staff, along with community partners as appropriate. The evaluations outline future goals and plans for improvement in the use of volunteers of the SHICK program.

Role Design

3.11 Volunteer role development

Policy: Volunteers may fill a wide range of standard roles in the SHICK program. All roles must conform to the primary goals of the SHICK program. KDADS Medicare Grants staff and SHICK Coordinators are encouraged to identify possible new roles for SHICK volunteers. Volunteers often have many valuable skills that should be identified so that the volunteers can be assigned to work congruent with the volunteer's interests and abilities which fulfill the goals of the SHICK program.

3.12 Volunteer-Staff interface

Policy: Volunteers should be used to increase the reach of the program and better serve beneficiaries, and are not used to replace or displace paid staff. The availability of volunteer resources is never a factor in the consideration of staff layoffs, terminations or loss through attrition.

3.13 Role descriptions

Policy: Prior to any recruitment effort or volunteer assignment, a role description is developed for each volunteer position. It is important that volunteers read and understand the description of the duties he/she is asked to perform. After volunteers have been accepted into the volunteer program, volunteers shall fulfill the duties identified in the role description. If a volunteer's role changes while they are volunteering, the volunteer shall be provided an updated description to review prior to starting the new role and responsibilities. A written role description helps ensure volunteers understand their role and its responsibilities. All role descriptions include, but may not be limited to the following:

- purpose of the role;
- role duties;
- designated supervisor;
- worksite location(s);
- time frame for the performance of the work along with work schedule;
- qualifications;
- benefits of the role to volunteers.

Role descriptions are reviewed and updated at least annually by the KDADS Medicare Grants staff, or whenever a role changes substantially.

3.14 Standards of performance

Policy: Standards of performance are established for each volunteer role. A copy of the relevant standards of performance is provided to all volunteers at the beginning of their assignment. Performance standards are the basis for both communicating expectations and appraising volunteer performance. Failing to create and communicate standards of performance is both unfair and almost certain to hamper program goal attainment.

3.15 Refusal of assignments

Policy: Volunteers must have the right to refuse assignments and must feel comfortable doing so. Refusing such assignments shouldn't affect their position with the agency.

3.16 Paid staff requests for volunteers

Policy: The SHICK Coordinator recruits and places volunteers only in settings where staff are clearly supportive of volunteer involvement and willing to work together with, and provide support for, volunteer participation. If paid staff are requesting volunteer assistance, it must be approved by their sponsoring organization's SHICK Coordinator.

3.17 Worksite

Policy: A safe and appropriate worksite is established for every volunteer. It is the responsibility of the sponsoring organization to ensure that their volunteers are working in a safe and well-

equipped environment. Safe and appropriate worksites contain facilities, equipment, and space necessary for volunteers to safely, effectively and comfortably perform their duties.

3.18 Length of service

Policy: Terms of service are agreed upon at initial training, with an option for annual renewal by attending update training and signing the Memorandum of Understanding (MOU).

Volunteers are neither expected nor required to continue their involvement with the SHICK program. At any time, volunteers may seek a different volunteer assignment within the SHICK program or with another organization, or may retire from volunteer service.

3.19 Leaves of absences

Policy: At the discretion of the KDADS Medicare Grants staff, in consultation with the volunteer's SHICK Coordinator at their sponsoring organization, leaves of absences are granted to volunteers in advance of the timeframe requested for leave. If an emergency arises that requires the volunteer to leave without placing a request for leave in advance, the volunteer is required to inform the local SHICK Coordinator as quickly as possible that a leave of absences is needed and for approximately how long the volunteer will be off. If the leave is of significant duration, retraining may be needed in advance of re-entry.

Recruitment

3.20 Recruitment

Policy: Volunteers are recruited by the SHICK program on a proactive basis, with the intent of broadening and extending SHICK services to beneficiaries. Acceptance as a volunteer is not automatic. Volunteers fulfill all screening, orientation and training requirements for the role in which they are interested before being accepted into service. Recruitment campaigns may be launched to attract volunteers. Interested persons enter the application process either through an interest in a specific function, or through a general interest in volunteering for the SHICK program.

3.21 Non-Discrimination

Policy: Volunteer roles are open to community members of all ages above the age of majority regardless of race, religion, color, national origin, gender, gender identity, sexual orientation, ancestry, mental or physical disability, medical condition, disability, political activity, marital status, or age.

3.22 Advertisement of volunteer opportunities

Opportunities to volunteer are publicized broadly and through a variety of methods to ensure that no group of people is excluded because of limited distribution of information.

3.23 Communication with prospective volunteers

Policy: Response to people who express an initial interest in volunteering with the SHICK program is prompt. If volunteer opportunities are not immediately available or initial volunteer training is not available quickly, then the SHICK program will maintain a list of interested prospective volunteers. Prospective volunteers on the list will be contacted when initial trainings are made available.

Screening

3.24 Selection policy

Policy: The decision to accept (or not) each volunteer applicant is based on careful consideration of all pertinent information gathered in the screening process.

The SHICK program strives to maintain a safe and productive workplace with honest, trustworthy, reliable and qualified volunteers who do not present a risk of harm to themselves, other persons, or the reputation of SHICK. Screening processes are clear and comprehensive and standards are never waived, even for persons known to the screener.

Screening inquiries are limited to collecting information directly connected to the ability of the applicant to effectively perform volunteer work for the SHICK program. The SHICK program applies a formal selection process to all prospective volunteers.

3.25 Screening authority

Policy: Screening and acceptance decisions are made by KDADS Medicare Grants staff.

3.26 Equity and human rights compliance

Policy: While screening processes vary by role, applicants for any given role are screened in the same way as all other applicants for that same role. All screening inquiries and decisions comply with relevant human rights requirements.

3.27 Right of refusal

Policy: Acceptance as a volunteer is not automatic. The SHICK program reserves the right not to accept applicants based on an objective and equitable assessment of their suitability. Screening and placement decisions must focus solely on the ability of the applicant to do the work and meet performance standards.

3.28 Full disclosure of process and volunteer consent

Policy: Prospective volunteers are notified early in the application process about the range of screening inquiries used by the SHICK program. No screening inquiry is undertaken without the prior knowledge and permission of the applicant.

Prospective volunteers agree to the right to have KDADS Medicare Grants staff conduct appropriate inquiries regarding the background and qualifications of applicants and cooperate fully in the fulfillment of these checks. Prospective volunteers have the right to refuse permission for any line of screening inquiry in which case the SHICK program reserves the right to terminate the application process and refuse acceptance as an SHICK volunteer.

Applicants are informed of a projected time line of the screening process at the time of their initial interview. They are updated if screening takes longer than expected. Prospective volunteers are informed of the outcome of their application as expeditiously as possible, preferably within one week of the decision.

Applicants sign an agreement allowing the KDADS Medicare Grants staff to complete the screening inquiries.

3.29 Application form

Policy: A standardized application form must be completed by all prospective SHICK volunteers.

3.30 Interviews

Policy: All prospective volunteers are interviewed to ascertain their suitability for, and interest in the SHICK program. Interviews determine volunteers' qualifications and commitment to fulfill the requirements of the role, and provide ample opportunity for interviewees to ask questions about the program, volunteer duties, and gain any other information they may need to make an informed decision about volunteering with the SHICK program.

Interviews are conducted either in person or by telephone. Whenever possible, interviews are conducted in person to allow the SHICK Coordinator to better evaluate the volunteer.

3.31 Conflict of interest

Policy: No person who has a conflict of interest about the work they will do for the SHICK program, whether personal, philosophical, or financial may serve as a volunteer. Volunteers do not promote any personal or business interest while undertaking their SHICK assignment.

One example of persons with an inherent conflict of interest is anyone who receives compensation for enrolling beneficiaries in a specific insurance plan or plans.

SHICK volunteers will sign a conflict of interest statement as part of the application and screening process and agree to immediately notify the SHICK Coordinator and their sponsoring organization if any potential conflict arises during performance of their duties. All possible conflicts of interest must be immediately reported by SHICK Coordinators to the KDADS Medicare Grants Director.

3.32 Background checks

Policy: Background checks are an essential screening step before a volunteer begins work with Kansas consumers. Background checks may include, but may not be limited to verification of:

- Identity;
- Volunteer history and experience;
- Employment history and experience;
- Education.

Note that in common usage the term “background check” is sometimes synonymous with “criminal records check.” In these policies, the two are very different things. A “background check” includes any or all of the four checks noted in the policy above, while the term “criminal records check” refers specifically and only to a check of an applicant’s criminal history; it is not part of the background check, but is separate from it (see Policy 3.33).

3.33 Criminal records check

Policy: All prospective volunteers applying for any position of trust in the SHICK program are required to undergo a national-level criminal record check that is initiated by KDADS.

The SHICK program has a protocol for determining which criminal violations render an applicant unsuitable for SHICK assignments.

The presence of a criminal record is not an automatic disqualifier from SHICK volunteer work. The nature of the offense, when it occurred, and other pertinent information are considered in combination with all other information gathered in the screening process, and the acceptance decision is based on an overall assessment of the qualifications and appropriateness of the candidate for the role in question.

3.34 Driver’s license and record checks

Policy: Prospective volunteers whose volunteer responsibilities for the SHICK program involve operation of a motor vehicle are required to undergo two specific screening inquiries:

- Proof of valid driver's license;
- Driver’s record check.

Driving offenses may disqualify applicants for roles involving driving. The nature and number of the offense(s) and when it (they) occurred will be considered in the screening decision.

3.35 Limiting conditions affecting volunteer work

Policy: Volunteers who have any medical or psychological condition that might affect the safe and effective performance of their volunteer work are requested to consult with their sponsoring organization’s SHICK Coordinator about their ability to perform their assigned

duties. This is a safety precaution for both the volunteer and the SHICK program to be used when there may be doubt about a volunteer's capacity to continue or take on the work assigned. This screening device can be used in the initial volunteer intake process or at some later point when ongoing capacity to perform assigned duties comes into question.

3.36 Probationary period

Policy: All new volunteers are considered to be probationary after their initial training is complete. After new volunteers have completed a mentoring period with an experienced counselor and are ready to counsel individually, they will no longer be considered to be probationary. Adjustments are made wherever appropriate. If it is determined by either party during the probationary period that involvement in the SHICK program is not appropriate, termination can be immediate and without prior notice or reason provided by either party.

3.37 Documenting screening

Policy: The SHICK program has a screening documentation process that sets out what documentation is created, for how long it is retained, and when it is to be destroyed. Screening documentation is both created and retained so that the organization has proof of its screening processes and a basis to defend its screening decisions in a legal action. Screening documentation becomes part of the volunteer's personnel file and is retained for seven years after the volunteer's involvement with the SHICK program terminates. For applicants not accepted to be volunteers with the SHICK program, their documentation is retained for six months after the volunteer has been notified of the non-acceptance of their offer of involvement.

3.38 Confidentiality of screening information

Policy: The confidentiality of information collected during volunteer screening is carefully protected. It may be shared with SHICK screening/hiring authorities as needed in the determination of volunteer suitability.

3.39 Incomplete or false information

Policy: Falsification of information, including material omission or misrepresentation, at any point during screening is grounds for immediate disqualification from the application process, or even immediate dismissal if the falsehood is discovered after acceptance.

3.40 New screening standards for current volunteers

Policy: All SHICK volunteers, regardless of length of tenure, are subject to the provisions of all volunteer policies, including new policies coming into effect during an existing volunteer's tenure. Existing volunteers must meet all new screening standards relevant to the role(s) they hold, except for interviews which do not need to be initiated or repeated with existing SHICK volunteers.

3.41 Reconfirmation of screening

Policy: Criminal records checks, driver's records checks, and so on are time-limited. The SHICK program has the right to re-check various record checks (e.g., criminal records checks, driver's records check, etc.) at any time to ensure that volunteers still have a license, haven't been convicted of serious moving vehicle violations, or haven't let their auto insurance lapse. Volunteers are required to inform their SHICK supervisor of any pending criminal charges that may occur after the initial screening process.

3.42 Up-Screening

Policy: Prospective volunteers are screened to the level of intensiveness dictated by the role(s) for which they apply. If a volunteer applies for transfer to another volunteer role for which the initial screening process is more intensive than for the role the volunteer has been occupying, the volunteer is subjected to the additional screening inquiries of the role being applied for. Failure to satisfactorily meet these additional screening requirements is grounds for denial of the transfer.

3.43 Screening of previous volunteers

Policy: Re-acceptance of previous SHICK volunteers is not automatic. Re-acceptance decisions are based on past performance and the results of any updated or additional screening inquiries undertaken about the role for which the person is applying.

3.44 Revisions to the screening process

Policy: Screening protocol is adjusted as standards of care and due diligence recommend.

Placement

3.45 Placement

Policy: When placing a volunteer in a role, attention is paid to the interests and capabilities of the volunteer and to the requirements of the volunteer role. Placements are not made unless the requirements of the volunteer, the role requirements, and the supervising staff can be met.

3.46 Acceptance and appointment

Policy: Service as a volunteer with the SHICK program begins only after completion of in-person initial training and after completing the training record and signing the Memorandum of Understanding. No offer of acceptance is issued on a conditional basis pending. For example: the results of screening inquiries, and volunteers do not begin any work in the SHICK program until they have been formally accepted into service.

3.47 Re-assignment

Policy: Volunteers who are at any time re-assigned to a new role receive all appropriate orientation, training and up-screening (if applicable) before they begin work.

Orientation and Training

3.48 Orientation

Policy: All volunteers receive orientation on topics that include, but are not limited to:

- The purpose and values of the SHICK program;
- The nature and operation of the program or activity for which they are recruited;
- The purpose, duties and requirements of the role that they are accepting.

Volunteers must fulfill all mandatory orientation and training requirements before any work is assigned to them.

3.49 Training

Policy: Minimum initial and ongoing volunteer training requirements are established by the KDADS Medicare Grants staff and involve the delivery of a volunteer training program tailored to the SHICK program. Volunteers must fulfill mandatory training requirements before any work is assigned.

3.50 Demonstrating qualifications

Policy: Following training, volunteers are tested on their knowledge and abilities for certain SHICK knowledge and must demonstrate minimum levels of comprehension and skill. Volunteers are not assigned duties until their qualification as a SHICK counselor is certified, using the criteria and process required by KDADS Medicare Grants staff.

3.51 On-the-job training or mentoring

Policy: Volunteers receive specific on-the-job training or mentoring which provides the information and skills necessary to perform their volunteer assignment. The timing and methods for delivery of such training are appropriate to the complexity and demands of the role and the capabilities of the volunteer. This training or mentoring should be done with the volunteer's local SHICK Coordinator, or an experienced and knowledgeable SHICK counselor.

3.52 Continuing education

Policy: Update training is required annually for all volunteer roles. Update training must be completed by the end of each grant year to remain an active SHICK volunteer for the following year. Volunteers who are not able to meet required continuing education requirements are respectfully removed from SHICK volunteer service.

Performance Management

3.53 Components

Policy: A constructive, positive and success-oriented performance management system is in place for SHICK. The SHICK program performance management system includes three primary components:

- Supervision;
- Performance evaluation;
- Corrective action.

3.54 SHICK Coordinator role

Policy: SHICK Coordinators follow performance management policies and procedures in their day-to-day work with volunteers. In instances where more support, understanding or direction is needed, the KDADS Medicare Grants staff will help the SHICK Coordinator to assist the volunteer to achieve necessary modifications.

3.55 Notice of performance management system

Policy: Volunteers are advised of the existence of the volunteer performance management system during their initial orientation with the SHICK program. Volunteers will receive a copy of the SHICK VRPM Policies along with any other performance management or evaluation instruments at initial training.

3.56 Supervision and support

Policy: The SHICK program has both the obligation to provide supervision and support, to manage the work done by volunteers and to determine the nature and extent of supervisory guidance provided to volunteers. As volunteers working on behalf of the SHICK program, they are a critical part of the SHICK workforce. Accordingly, KDADS Medicare Grants staff has an obligation to ensure that the performance and behavior of volunteers best serves the SHICK program and does not diminish its ability to deliver the very best services possible to the community.

3.57 The nature of supervision and support

Policy: Supervision and support of SHICK volunteers reflects the principle of positive, constructive and success-oriented guidance that underpins the SHICK volunteer performance management system. The SHICK program is very much a success-driven rather than failure-driven system.

3.58 Acceptance of supervision

Policy: Upon acceptance as a certified SHICK Counselor, volunteers agree to accept supervision and support from experienced SHICK Counselors and SHICK Coordinators. Failure or refusals by a volunteer to accept supervision or to take direction are grounds for disciplinary action up to and including dismissal.

3.59 Requirement of a sponsoring organization

Policy: Each volunteer who is accepted as a SHICK counselor has an identified sponsoring organization and SHICK Coordinator who is responsible for direct supervision and support of that volunteer. SHICK Coordinators provide day-to-day guidance for the work of the volunteer, and are available to the volunteer for consultation, assistance and support. SHICK Coordinators assign volunteer duties, involve volunteers in the communication flow of the agency, and provide constructive feedback to volunteers regarding their work.

3.60 Experienced SHICK counselors as volunteer mentors

Policy: Experienced SHICK Counselors may be assigned as volunteer mentors to provide mentoring and support to new volunteers.

3.61 Lines of communication

Policy: Volunteers receive all necessary information pertinent to the performance of their work assignments. Accordingly, volunteers are included in and have access to all appropriate information, memos, materials, meetings, and consumer records relevant to work assignments. SHICK Coordinators ensure that their volunteers receive all pertinent information. To facilitate the receipt of this information on a timely basis, volunteers are included on all electronic distribution. Lines of communication operate in both directions, and exist both formally and informally. Volunteers are encouraged to provide feedback and input, via their SHICK Coordinator, on the effectiveness and organization of the SHICK program. All constructive suggestions are welcomed.

3.62 Evaluation of performance

Policy: Volunteers receive periodic evaluation of their work. Volunteer evaluations are conducted by the volunteer's SHICK Coordinator. Input may also be sought from KDADS Medicare Grants staff who are able to observe volunteer performance. Feedback on volunteer performance is non-threatening, constructive and supportive. It is an opportunity for mutual exchange and feedback. It includes formal acknowledgement of, and appreciation for, volunteer contributions. Volunteers are invited to provide input and suggestions regarding their work, SHICK services and the volunteer's relationship with the SHICK program. Paperwork related to the volunteer's tenure is updated, including the role description, personal contact information, conflicts of interest, and any licensure relevant to their duties (e.g., proof of valid driver's license, proof of automobile insurance, etc.). See Form 3.62

3.63 Documenting performance

Policy: The substance and outcomes of volunteer performance evaluations are documented by the supervisor and placed in the volunteer's personnel file. All plans for improvement are itemized along with mutually agreed upon follow-up dates and procedures.

3.64 Communication with KDADS Medicare Grants staff

Policy: SHICK Coordinators maintain regular communication via email, listserv, or telephone with the KDADS Medicare Grant Director and staff on the status of the volunteers they are supervising and are responsible for the timely submission of all necessary paperwork.

The Medicare Grants Director and staff must be immediately informed of any substantial change in the work or status of a volunteer and is consulted in advance before any corrective action is taken.

3.65 Progressive Corrective Action

Policy: The SHICK program has a written protocol for corrective action that includes a wide range of intervention techniques which are progressive in nature. When corrective action is necessary, it is positive, constructive, and success-oriented, designed to help volunteers whose performance and/or behavior is not meeting expectations. The seriousness of corrective action is matched to the nature of the performance issue, becoming progressively more serious with either the unacceptability of the transgression or the repeated failure by the volunteer to improve the situation.

3.66 Dismissal of a volunteer

Policy: Volunteers who do not adhere to the rules, policies and procedures of the SHICK program or who repeatedly fail to perform a volunteer assignment satisfactorily despite supervisory support and other interventions are subject to dismissal. All efforts should be made by the KDADS Medicare Grants staff to work with the SHICK Coordinator to implement appropriate corrective actions before dismissal is considered.

The SHICK program establishes grounds for dismissal of volunteers. Individual situations vary and SHICK Coordinators in conjunction with KDADS Medicare Grants staff gather information and investigate the circumstances regarding possible volunteer dismissal. Dismissal of volunteers is a last resort, applied only when other available and appropriate corrective actions have not been successful. The decision to dismiss is at the discretion of the SHICK Director.

Following is a sample list of possible grounds for dismissal. This list is for illustration purposes and is not intended to be complete or comprehensive:

- Gross misconduct;
- Serious misjudgment that may undermine the SHICK program's trust in the volunteer, cause harm to others, or diminish public trust in the SHICK program;

- Insubordination including failure or unwillingness to perform essential role responsibilities and/or accept direction from authorized SHICK supervisory personnel;
- Being under the influence of alcohol or illegal drugs while on volunteer duty or representing the SHICK program;
- Dishonesty, theft or other illegal acts;
- Loss of license (such as driver's license) or certification or qualification required to perform assigned duties;
- Unauthorized use or misuse of SHICK equipment or materials;
- Harm, abuse or mistreatment of beneficiaries, co-workers or other persons;
- Sexual harassment;
- Serious and repeated failure to abide by SHICK policies and procedures;
- Failure to meet physical, cognitive or emotional standards of performance;
- Repeated failure to satisfactorily perform assigned duties;
- Irresolvable conflict of interest;
- Serious breach of boundaries.

3.67 Immediate dismissal

Policy: Some behaviors are so unacceptable that they are simply not tolerated in the SHICK program. Such behaviors trigger immediate dismissal of volunteers from SHICK volunteer service. When there is sufficient information to indicate that the unacceptable behavior has taken place, the volunteer is immediately relieved of his or her duties. The KDADS Medicare Grants Director establishes grounds for immediate dismissal. Individual situations vary and SHICK Coordinators and the KDADS Medicare Grants Director use discretion and good judgment in all decisions regarding possible volunteer dismissal.

If there is some question about the unacceptable behavior, the volunteer is immediately suspended from his/her volunteer role until an investigation is complete with the KDADS Medicare Grants staff. The suspension is treated as a temporary dismissal, wherein the volunteer gathers his or her belongings, returns any SHICK identification and is escorted from the premises. In the case of a suspension pending investigation, when the investigation is complete the SHICK Director determines whether the volunteer will be reinstated, and if so, with what provisions, or dismissed.

Following is a sample list of possible grounds for immediate dismissal of SHICK volunteers. This list is for illustration purposes and is not intended to be complete or comprehensive:

- Fraud, theft or abuse related to SHICK program;
- Serious illegal act;
- Gross negligence causing bodily harm about SHICK services;
- Breach of confidentiality;
- Reporting for volunteer service in an impaired condition resulting from the use of alcohol or illegal drugs;

- Violence in the workplace.

3.68 Notice of departure of volunteer

Policy: When a volunteer departs from the SHICK program, the volunteer shall notify their SHICK Coordinator at their sponsoring organization. The SHICK Coordinator in turn, will notify KDADS Medicare Grants staff and any other affected persons.

3.69 Reassignment of work and cessation of work relationships

Policy: When a volunteer is dismissed, the working relationship to the SHICK program, its services, personnel and beneficiaries is irrevocably severed. Volunteers are informed that further SHICK program-related or service-related functioning along with connections with SHICK personnel, partners and beneficiaries cease upon dismissal.

When a dismissed volunteer has an ongoing relationship with a beneficiary(ies), the SHICK Coordinator should let them know immediately that the volunteer is no longer a representative of SHICK, and the beneficiary(ies) is (are) cautioned to discontinue any SHICK related contact with the volunteer. The SHICK Coordinator should take immediate and proactive steps to quickly link them with replacement volunteers.

3.70 Performance management review and appeals procedures

Policy: The SHICK program has a corrective action review and appeals procedure in place. Volunteers are made aware of the appeals procedure upon acceptance into volunteer service. Decisions involving serious and formal corrective action, including dismissal of a volunteer, are reviewed for appropriateness by the KDADS Medicare Grants staff in consultation with the SHICK Director.

3.71 Grievance/complaint procedure

Policy: Volunteers with complaints or grievances with staff, other volunteers, beneficiaries or partner organizations communicate these to their SHICK Coordinator. If the complaint involves the volunteer's own SHICK Coordinator, the volunteer conveys the complaint to the next person in the chain of command, the KDADS Medicare Grants staff. All complaints will be treated as confidential. Every effort is made by the SHICK Coordinator/KDADS Medicare Grants staff to achieve speedy and effective resolution of the situation and the volunteer is kept informed of the progress of this effort. The final decision regarding resolution and related action rests with the SHICK Director.

3.72 Investigation of outside complaints

Policy: The SHICK program has a process for investigating and resolving complaints from beneficiaries and other outside parties against volunteers. The KDADS Medicare Grants staff is obligated to follow up on these accusations and attempt to determine whether they have

substance. A formal process will guide the response and ensure fairness and equitable application of the policy.

3.73 Resignation

Policy: Volunteers may resign from their volunteer service with the SHICK program at any time and for any reason. Volunteers who intend to resign provide notice in advance of their departure along with the reason for their decision. Beneficiaries working with the volunteer should be informed in writing of the assignment of a new volunteer to their case. At the time of resignation volunteers should turn in all identification and other property or materials belonging to the SHICK program to their designated supervisor.

3.74 Volunteers Aging in Place

Policy: The commitment of SHICK volunteers occasionally leads to volunteers who attempt to continue providing service even when their capacities have diminished to a point where quality of service and safety become issues.

To address this issue, each sponsoring organization shall establish a protocol for addressing the suitability of continued volunteer service. The following apply to a protocol for addressing suitability:

- The protocol shall ensure that the prior service of the volunteer is honored. The attempts of the volunteer to continue to provide service will be respected since the diminishing of their abilities is through no fault of their own.
- All attempts shall be made to find alternate methods for the volunteer to provide service to the sponsoring organization. These attempts may include changes in volunteer role, partnering with other volunteers or other enabling techniques.
- Volunteers will be encouraged to undertake their own self-assessment of capacity and to seek counsel from their own support network, such as family members and others who might provide objective information regarding continued volunteering.
- Volunteer supervisors should support the decision of volunteers to resign and shall indicate that this does not imply that the volunteers are letting the SHICK program down or failing to meet their commitment.

In situations where the volunteer has exhibited diminishing capacity that significantly affects their ability to perform volunteer service and where the volunteers does not choose to resign voluntarily, the SHICK program shall take unilateral action to initiate retirement of the volunteer and honor the service they have provided.

Volunteer Behavior, Performance and Roles

3.75 Clarification of meaning

Policy: It is the volunteer's responsibility to seek clarification about policies, as needed. Not understanding a policy is not acceptable grounds for failure to comply. Questions from volunteers regarding interpretation of policies should be addressed to the SHICK Coordinator for clarification, who will then consult with the KDADS Medicare Grants staff. Matters not specifically covered in these policies are determined by the SHICK Director.

3.76 Volunteer conduct

Policy: SHICK volunteers perform their duties in an objective, timely and conscientious manner. They always act in a knowledgeable manner, consistent with their training and these policies. SHICK volunteers are agents of the program. Volunteer presentation and performance reflect positively on the SHICK program, enhancing its integrity, reputation, and credibility. The SHICK Coordinators, KDADS Medicare Grants staff and all other SHICK team members support appropriate volunteer conduct by ensuring that SHICK volunteers feel safe, prepared, supported and competent in the fulfillment of their responsibilities.

3.77 Boundaries and ethics

Policy: The SHICK program clearly communicates role boundaries to volunteers. Volunteers recognize and respect the limits of their skills and abilities, and the boundaries and limitations of their role. If a volunteer is in doubt regarding the limitations of their role, no action is taken until direction on the matter is received from the SHICK Coordinator, the KDADS Medicare Grants staff, or the SHICK Director.

All volunteer roles have not only responsibilities, but limits to those responsibilities (i.e., boundaries). Boundaries are communicated through a range of mechanisms including, but not limited to, role descriptions, performance standards, orientation, training, on-the-job training, ongoing training, volunteer supervision and support, performance evaluation, and, as needed, corrective action.

3.78 Provision of service

Policy: Volunteers provide service in a responsible and objective fashion, without regard to the background or characteristics of beneficiaries. Volunteers provide current and accurate information and seek additional assistance or information when in doubt or when specialized knowledge or expertise is required. **Volunteers do not recommend or endorse specific services, providers or products to beneficiaries. Volunteers do not make plan choices or decisions for beneficiaries.**

3.79 Representation of the SHICK program

Policy: Volunteers are agents of the SHICK program while functioning in their assigned volunteer roles. Volunteers are not spokespersons for the SHICK program in any formal sense and shall not represent themselves as such. Volunteers shall not say anything or act in any way that might obligate the SHICK program or be construed as a formal SHICK role. This applies to all oral and written communications, including online statements in social media or other forums.

Prohibited actions in this regard include, but are not limited to:

- Public statements that might in any way be construed as originating from or representing the SHICK program;
- Statements to the press regarding anything pertaining to SHICK or the volunteer's service with the SHICK program;
- Lobbying efforts with other organizations, governments or other entities;
- Collaborations or joint initiatives not clearly authorized in advance by the SHICK program;
- Any agreements, undertakings or contractual obligations on behalf of the SHICK program;
- Online statements in social media or other forums that might be construed as officially representing the SHICK program.

3.80 Use of SHICK affiliation

Policy: Volunteers may not use their affiliation with SHICK about partisan politics, religious matters, business dealings or community issues. Volunteers do not sell, recommend, or endorse any specific insurance or medical product, agent or company, or promote religious or political beliefs, perspectives or practice.

Be aware that many volunteers may violate this policy unintentionally, believing that they are simply being helpful. This may occur, for example, when volunteers identify themselves in public as SHICK volunteers and then proceed to:

- Give an opinion;
- Offer helpful suggestions having nothing to do with their SHICK role;
- Recommend a course of action that either violates the values, or is clearly outside of the purview of the SHICK program.

3.81 Confidentiality

Policy: Volunteers are responsible for maintaining the confidentiality of all proprietary or privileged information to which they are exposed while serving as a volunteer, whether this information involves a member of staff, a volunteer, a beneficiary or other person, or involves the overall business of the SHICK program. Volunteers take all steps necessary to safeguard the confidentiality of all SHICK and beneficiary related information and to prevent personal information of beneficiaries from falling into the possession of unauthorized persons.

Volunteers use any information collected or obtained in their course of their SHICK work only to assist the beneficiary or otherwise fulfill volunteer role responsibilities. No information collected or obtained during SHICK work is disclosed other than when clearly approved by an authorized SHICK representative.

There is zero tolerance for breaches of confidentiality about work for the SHICK program. Even small breaches may cause harm to beneficiaries and/or to other persons, and are subject to serious consequences up to and including dismissal. While volunteering for the SHICK program, volunteers may become aware of private information about beneficiaries. This may be health/Medicare related or information of an otherwise personal nature.

Volunteers must sign a confidentiality agreement and be in full compliance with the agreement is a condition of continued involvement in SHICK volunteer service. Volunteers are informed on this agreement that a breach of confidentiality is grounds for dismissal.

3.82 Dress code

Policy: As representatives of the SHICK program, volunteers are responsible for presenting a good image to beneficiaries and to the community. Volunteers dress appropriately for the conditions and the nature of their volunteer duties, maintaining a high standard of personal appearance, hygiene and grooming.

3.83 Recording of volunteer time and activity

Policy: Volunteers accurately complete and submit required information on their volunteer activity on a timely basis. This may include timesheets, client or media contacts and other reports. Volunteers are not paid/compensated for services rendered.

3.84 Absenteeism

Policy: Volunteers are expected to be reliable and punctual. When expecting to be absent from a scheduled duty, volunteers inform their SHICK Coordinator as far in advance as possible, so that alternate arrangements may be made. It is neither the responsibility nor the right of volunteers to find or assign an alternate person to perform their work.

3.85 Harassment

Policy: The SHICK program is committed to providing a safe and respectful work environment for all personnel and beneficiaries. No one must put up with harassment for any reason, at any time. No one has the right to harass anyone else, at the sponsoring organization's workplace or in any situation related to the SHICK program and services. The SHICK program treats all complaints of harassment seriously, whether they are made informally or formally. Action is taken on all complaints to ensure that they are resolved quickly, confidentially, and fairly. Corrective action will be taken with anyone who has harassed a person or group of people.

All SHICK Coordinators have a responsibility to stop harassment. Everything is done to stop it as soon as it is detected, if a complaint has been made. Appropriate corrective action and disciplinary measures are taken where harassment has occurred. Volunteers report to their SHICK Coordinator immediately if they are made to feel uncomfortable on the job through any behaviors or comments of beneficiaries, staff or other volunteers.

3.86 Drugs and alcohol

Policy: The SHICK program operates a work environment that is free of alcohol and drug use/abuse. This is a zero-tolerance policy. Non-compliance is grounds for immediate dismissal.

The possession or consumption of alcohol or illicit drugs, or the misuse of prescription or "over the counter" drugs is prohibited on SHICK sponsoring organizations premises or work sites, or in circumstances deemed by the KDADS Medicare Grants staff to present a serious risk to the interests of the SHICK program in terms of volunteer, paid staff, beneficiary or public safety, service quality, or the organization's reputation. Volunteers do not use, possess, transfer, distribute, manufacture, or sell alcohol or any illegal drug while on sponsoring organization property, while on duty, or while operating a vehicle on duty or while driving to or from a SHICK worksite or event.

Volunteers taking legal medication, if prescribed by a licensed medical practitioner, that affects or impairs judgment, coordination or perception to adversely affect ability to perform work in a safe and productive manner, notifies their SHICK Coordinator prior to engaging in SHICK work.

When volunteers report impairments because of legal medication, the SHICK Coordinator determines whether the volunteer can remain at work or whether work restrictions are required. This may include consultation with a medical professional about the individual's ability to perform volunteer work as assigned.

3.87 Acceptance of gifts

Policy: SHICK volunteers shall not accept personal gifts from beneficiaries, their families, caregivers, or other representatives. Any such offerings are respectfully and tactfully declined, citing, as needed, this policy as the basis for their action. It is understandable that some SHICK clients and those who care for them wish to express their thankfulness through gifts to the people who have been so helpful; however, the SHICK program provides services to beneficiaries without compensation. If a gift is received, for example via mail, the volunteer is required to turn in the gift to their supervisor immediately.

Definition: For this policy, gift is broadly defined to include any payment, distribution, transfer, loan, advance, deposit, gift or other rendering of money, property, services or anything else of value, whether tangible or intangible. Gifts include but are not limited to material goods, money in any form, valuables, jewelry, tickets to sporting events and entertainment, and travel. Meals provided during events are not considered gifts for the purposes of this policy.

3.88 Acceptance of honoraria

Policy: Honoraria offered to SHICK volunteers are respectfully and tactfully declined, citing, as needed, this policy as the basis for their action. Honoraria which is given to the SHICK program may be accepted by the volunteer on behalf of the SHICK program or sponsoring organization.

Definition: SHICK volunteers perform work functions (e.g., speeches, presentations, training, etc.) which may, from time to time, attract honoraria. Exempted from this policy are one-time speaker's gifts that can reasonably be regarded as small or token and where the nominal value received by any one person is under \$20.00.

3.89 Reimbursement of expenses

Policy: Volunteers may be eligible for reimbursement of reasonable expenses incurred while undertaking volunteer work for the sponsoring organization. Approval is received prior to any major expenditure. The SHICK Coordinator distributes information to all volunteers regarding specific reimbursable items and the process for receiving reimbursement from the sponsoring organization. The SHICK program is not required to provide any reimbursement for expenses.

3.90 Access to SHICK program/sponsoring organization property and materials

Policy: As appropriate, volunteers have access to property of the SHICK program and/or the sponsoring organizations and those materials and equipment necessary to fulfill their duties. Volunteers receive training in the operation of any work-related equipment and have the same responsibilities as paid staff regarding the safe use and maintenance of equipment and materials used for SHICK. Property and materials used for SHICK are used only when directly required for the volunteer task.

3.91 Relationships with beneficiaries

Policy: Volunteer relationships with beneficiaries have the same boundaries as those between paid staff and beneficiaries. It is appropriate to be friendly, courteous, and caring but it is not appropriate to become friends with beneficiaries, their family members or others connected to the delivery of service. Friendships with beneficiaries can lead to unclear boundaries, inappropriate expectations, the appearance of favoritism or exploitation, and conflicts of interest.

Invitations to SHICK volunteers from beneficiaries to spend personal time together or to engage in other than SHICK business are declined respectfully, citing, as needed, this policy as the basis for their action. Volunteers treat all beneficiaries with courtesy and respect. Volunteers respect the personal boundaries of beneficiaries and govern their physical behaviors accordingly.

3.92 Financial transactions with clients

Policy: SHICK volunteers do not enter into financial transactions with beneficiaries, their family members or caregivers, either lending or borrowing in either direction.

If clients are in immediate financial need, the SHICK Coordinator is notified and referral is made to appropriate community services.

3.93 Political issues

Policy: Volunteers do not engage in political activities, campaigning or lobbying during volunteer hours. While on SHICK duty, volunteers do not:

- Publicly express their personal opinions regarding political issues;
- Display or distribute political signs or materials either on their person or at work sites;
- Solicit or accept contributions for political purposes during volunteer hours.

3.94 Cultural sensitivity

Policy: Volunteers are trained in the norms of identified consumer groups/cultures. Volunteers demonstrate a respect for the norms and cultures of beneficiaries with whom they work and are sensitive to consumers' beliefs, traditions and lifestyles. Because excellent communication is a key to success in most SHICK volunteer roles, volunteers are placed according to their ability to communicate effectively with beneficiaries and participants from diverse populations.

The SHICK program must be, and must be perceived to be, a respectful program in the communities it serves. This requires volunteers to be knowledgeable regarding different cultures and to strive always to show respect for these cultures.

3.95 Labor actions

Policy: When a worksite is affected by a labor dispute, the SHICK Coordinator, in consultation with KDADS Medicare Grants Director, determines whether it is appropriate for volunteers to continue their duties at the sponsoring organization worksite and/or in alternate settings. Where it is determined that volunteers may continue their duties, no pressure or judgment is placed on volunteers who choose not to volunteer for the duration of the dispute. When volunteers do stay involved during a labor dispute, they undertake only their regularly assigned duties and are not asked to, or of their own initiative, perform any additional duties.

Retention and Recognition

3.96 Recognition

Policy: The SHICK has a system for recognizing and rewarding the work done by volunteers, both individually and collectively.

Suggested Procedures: Sponsoring organization may choose to recognize and reward volunteers based on criteria, timing and process. The recognition system is broadly constructed to allow recognition of all forms of volunteer contribution and achievement, not just the quantity of

volunteer time donated. Staff and volunteers are consulted to identify those deserving of any special recognition or awards.

3.97 Informal recognition

Policy: Paid staff and volunteers responsible for volunteer supervision provide recognition of volunteer service on a regular and frequent day-to-day basis.

Definition: Methods of informal recognition range from simple “Thank You” to a concerted effort to include volunteers as full participants in decision-making and implementation of volunteer projects and activities.

3.98 Feedback on results

Policy: Whenever possible, volunteers are provided feedback on the results of their work, including data on volunteer contributions that allow the SHICK program to meet its service goals.

3.99 Volunteer-paid staff relationships

Policy: Volunteers and paid staff are partners in implementing the mission and goals of the SHICK program, with each having an equal but complementary role to play. Each partner understands and respects the needs and abilities of the other. Paid staff do not make unreasonable demands on volunteers or request that volunteers exceed the boundaries of the role description or the limits of their individual capacity. These concepts should be firmly communicated in orientation sessions for new staff and volunteers.

3.100 Identifying paid staff responsibility for volunteer management in role descriptions

Policy: Paid staff who have responsibility for supervising volunteers have this responsibility clearly identified in their role description, including how such responsibility is to be evaluated in their own performance assessment.

3.101 Responsibilities of SHICK Coordinator

Policy: SHICK Coordinators who supervise volunteers provide oversight like that provided to paid employees. Volunteer supervisors are responsible for day-to-day management and guidance of volunteers’ work and are available to volunteer for consultation and assistance.

3.102 Volunteer management training for members of staff

Policy: An orientation to working with volunteers is provided to all paid staff of the SHICK program. More in-depth in-service training on effective volunteer management is provided to paid staff that work closely with and/or directly supervise SHICK volunteers.

Section 4.0: Information Technology

4.1 Information procedures

Policy: The sponsoring organization has in place an information management protocol that outlines procedures to control volunteer access to and use of beneficiary information and the safe operation of computers used to collect and store program and beneficiary information. The protocol also specifies appropriate and inappropriate use of sponsoring organizations' computers by volunteers.

Volunteers are trained in this protocol, including data collection, entry, transport, protection and disposal. Reasonable accommodations are made for volunteers with disabilities.

4.2 Internet protocol

Policy: The sponsoring organization has a protocol for use of the Internet, covering e-mail use and appropriate access to web sites. The sponsoring organization has in place a protocol and appropriate training for volunteers who use wireless devices to connect to the Internet while performing SHICK work. The sponsoring organization has a protocol and appropriate training for volunteers who make use of their personal computers while performing SHICK work.

Other reasons for establishing an Internet protocol are to:

- Raise awareness among volunteers and paid staff of their roles in protecting the privacy of SHICK clients through appropriate use of the Internet;
- Prevent identity theft that can result from information security breaches using spyware and hacking;
- Prevent breaches that could expose the organization to fines for violating state privacy protection laws or to lawsuits for failure to properly safeguard protected information.

4.3 Reporting stolen or lost consumer information

Policy: If data is misplaced or stolen, volunteers shall immediately notify their SHICK Coordinator so that appropriate notification can be made to affected beneficiaries and authorities, and future safeguards are instituted as appropriate.

4.4 SHICK reporting software use

Policy: All the information security policies related to general computer and internet use also apply to SHICK/SHIP national data reporting software use. ACL requires the SHICK/SHIP program to report performance data into the SHIP national data reporting system. The SHIP data reporting system contains sensitive personal identifying information and protected personal and health information that must be protected. Volunteers who report into the ACL system (SHIPNPR/STARS) are given their own user account and do not share these with other

SHICK staff or volunteers. When any volunteer with a user account leaves the SHICK program, their user account is immediately disabled by the KDADS Medicare Grants staff.

4.5 Use of social media by volunteers

Policy: Social media should be used responsibly by volunteers when referencing the SHICK program or identifying themselves as a SHICK volunteer. The same principles and policies that apply to volunteer behavior in any volunteer role also apply to all activities online. Failure to utilize social media appropriately can lead to disciplinary action. The following guidelines apply to all volunteer use of social media:

- Be transparent. Always identify yourself and your role with SHICK. Remember to state that your views do not represent those of the SHICK program unless you have obtained specific approval;
- Be respectful and considerate of others. Do not post disparaging or defamatory statements about SHICK or other organizations, staff, volunteers, beneficiaries or other parties;
- Be honest and accurate and avoid spreading rumors based on lack of information;
- Do not reveal confidential information about SHICK or beneficiaries;
- Never discuss online any identifiable details on a current or past case or beneficiary;
- Separate any social media communications related to SHICK from your own personal social media communications. Set up separate accounts for discussions of your SHICK activity and your personal and family social media interactions;
- If you are concerned about the appropriateness of any statement or online activity discuss it first with your SHICK Coordinator;
- If you see content in social media that reflects poorly on the SHICK program please report it to your SHICK Coordinator.