Effective Training, Oversight, and Communication:

Key Practices to Support Volunteer LTCO and Minimize Risk

Tuesday, May 31, 2016
• Use the **Red Arrow** to expand or collapse your control panel.

• **Audio**: Select Mic & Speakers to use your speakers for audio or call-in using your phone. Choose the telephone option to see the call-in information.

• **Mute**: All lines are muted.

• **Questions**: Enter questions in this box and we will respond during the Q&A following the presentations or click the hand icon and we will unmute your line.

• **Recording**: The webinar recording will be available on our website. We will send a link to the recording and materials in a follow-up email soon.
LTCOP Rule

• Definition of “Representatives of the Office of the State Long-Term Care Ombudsman”
  • as used in sections 711 and 712 of the Act, means the employees or volunteers designated by the Ombudsman to fulfill the duties set forth in § 1327.19(a), whether personnel supervision is provided by the Ombudsman or his or her designees or by an agencyhosting a local Ombudsman entity designated by the Ombudsman pursuant to section 712(a)(5) of the Act.

• 1327.11 (e) Policies and procedures
  • (7) Grievance Process. Policies and procedures related to grievances must establish a grievance process for the receipt and review of grievances regarding the determinations or actions of the Ombudsman and representatives of the Office.
    • Must include opportunity for reconsideration of the Ombudsman decision to refuse, suspend, or remove designation of a local Ombudsman entity or representative of the Office. Notwithstanding the grievance process, the Ombudsman shall make the final determination.
LTCOP Rule

• **1327.17 Responsibilities of agencies hosting local Ombudsman entities**
  
  (a) The agency in which a local Ombudsman entity is organizationally located shall be responsible for the personnel management, but not the programmatic oversight, of representatives, including employee and volunteer representatives, of the Office.

• **1327.19 Duties of representatives of the Office**
  
  In carrying out the duties of the Office, the Ombudsman may designate an entity as a local Ombudsman entity and may designate an employee or volunteer of the local Ombudsman entity as a representative of the Office. Representatives of the Office may also be designated employees or volunteers within the Office.


• Questions about implementation? Contact your State LTCO
Risk Management-It Never Ends!

Risk: anything that threatens the ability of a nonprofit to accomplish its mission.

Risk management: a discipline that enables people and organizations to cope with uncertainty by taking steps to protect its vital assets and resources.

Nonprofit Risk Management Center
www.nonprofitrisk.org
Areas of Risk

• Volunteer LTCO...
  • Have access to residents, facilities, and others.
  • Obtain personal, confidential information.
  • Represent the state LTCOP and local ombudsman entity, if applicable.
  • Directly impact program performance and outcomes.
  • Have a significant degree of independence.

• Actions could harm the LTCOP and the individuals it serves (e.g., inappropriate disclosure of information, provide misinformation).
• May act outside of their role and responsibilities.
• Drive to their assigned facilities and other LTCOP activities.
• Are often personally impacted by their LTCO work, both positively and negatively (e.g., burnout/compassion fatigue).
MARY ANN PARKER
Interim State LTCO, DC LTCOP
KELLIE MILLER
Volunteer Services Supervisor, WI LTCOP
SARAH HINZMAN
Volunteer Ombudsman Program &
AmeriCorps VISTA Project Coordinator,
IA  LTCOP
The Unexpected Happened. Now What?
QUESTIONS?
RESOURCES

- Risk Assessment Tools
- Training and Oversight
- Communication
**Risk Management Considerations Worksheet**

http://ltcombudsman.org/omb_support/volunteer/program-management

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**Volunteer Risk Management Considerations for Long-Term Care Ombudsman Programs (LTCOPs) Worksheet**

Volunteer LTCO increase resident access to the LTCOP, expand LTCOP program services, bring a variety of skills and experiences to the LTCO role, strengthen the connection between LTCOP programs and the local community where they serve, and enhance the quality of life and care for LTC residents and consumers. Volunteer LTCO are invaluable, but due to the unique role and responsibilities of the LTCOP program there are potential risks that need to be addressed.

This worksheet provides key points to consider regarding risk management for LTCOPs. The chart highlights areas of risk and tips to reducing risk to help LTCOPs evaluate their programs to identify potential risk, review current program practices, and develop recommendations for improvements. The information below is from the Supporting Volunteer LTC Ombudsmen and Minimizing Risk webinar provided by the National Long-Term Care Ombudsman Resource Center (NORC) and is meant to be provide a brief overview so it is not all inclusive, see footnotes for links to more information and resources.¹

**What is Risk?²**

Risk: anything that threatens the ability of a nonprofit to accomplish its mission.

**Risk management:** a discipline that enables people and organizations to cope with uncertainty by taking steps to protect its vital assets and resources.

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<table>
<thead>
<tr>
<th>Minimizing Risk</th>
<th>Current Practice (e.g., screening, training, forms, policies and procedures)</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Areas of Risk</strong></td>
<td>As representatives of the LTCOP, volunteer LTCO:</td>
<td></td>
</tr>
<tr>
<td>Have access to residents, facilities, and others.</td>
<td></td>
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<td>Directly impact program performance and outcomes.</td>
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<td>Have a significant degree of independence.</td>
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**To Reduce Risk Establish Connection, Communication, and Control**

**Establish Connection**

- Provide a warm welcome with staff and peers.
- Regular, personal contact improves trust and solidifies shared values.
- Mentoring and shadowing.

**Enhance Communication**

- Reduce isolation in order to prevent an “us vs. them” attitude and a fear that they are “missing out.”
- Provide prompt responses.
- Find communication method that works best for individual volunteers (e.g., ask in application or training if they prefer email vs. phone).

**Improve Control**

- Set priorities and share them (e.g., priorities for the LTCOP and expectations for volunteers).
- Establish clear responsibilities for results.

**Risk Management Plans Include:**

**Clear Policies and Procedures**

- Volunteer handbook
- Grievance policy
- Process for volunteers not adhering to policies and procedures or not performing their duties.
## Liability and the Certified Ombudsman Volunteer Program

This comes from “Supporting Volunteer LTC Ombudsmen and Minimizing Risk” from NORC.
http://ltc-ombudsman.org/omb_support/volunteer/calls-webinars

Risk: anything that threatens the ability of a nonprofit to accomplish its mission.

Risk management: a discipline that enables people and organizations to cope with uncertainty by taking steps to protect its vital assets and resources.

These risk factors are identified in the webinar.

### Minimizing Risk

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<thead>
<tr>
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<th>Current Practice</th>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>COVs:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Have access to residents (Vulnerable Adults)</td>
<td>Annual Data Privacy Course</td>
<td>Signing annual Disclosure of Criminal Background Information</td>
</tr>
<tr>
<td>Obtain personal, confidential information</td>
<td>Annual Data Privacy Course</td>
<td>Policy on destroying information, case notes etc.</td>
</tr>
<tr>
<td>Represent the local and state LTCOP</td>
<td>We review these expectations at orientation. After that it is an expectation.</td>
<td>• Annual review of Code of Ethics • Annual review of Position Description • Policy on if COV goes outside of expectations</td>
</tr>
<tr>
<td>Directly impact program performance and outcomes</td>
<td>We have a reporting expectation.</td>
<td>Checking in with RO requirement</td>
</tr>
<tr>
<td>Have a significant degree of independence</td>
<td>Again, our reporting expectation is in place.</td>
<td>Checking in with RO requirement</td>
</tr>
<tr>
<td>Actions could harm the LTCOP and the individuals it serves</td>
<td>We orientate and train them.</td>
<td>Reporting Requirement Annual Code of Ethics Review Annual Position description review Other annual training here addressing this specifically or maybe added to annual data privacy training? Get classroom orientation instituted.</td>
</tr>
</tbody>
</table>

### Risk Management Plans Include:

- **Clear Policies and Procedures**
  - We have these. They need to be reviewed and updated.
  - Establish committee of stakeholders and ask for them to make recommendations

1. **Volunteer handbook**
   - We have this. We call it a COV Resource Manual. It needs to be reviewed and updated.
   - Review and make additions/changes as necessary

2. **Grievance policy**
   - We do not have this in place.
   - Role for Committee to develop and put into policy

3. **Process for volunteers not adhering to LTCOP policies and procedures or not performing their duties**
   - We state an expectation of adhering to ethical standards of conduct (code of Ethics)
   - Role for Committee to develop a minimum competence standard and make a recommendation on annual reviews/remedies

### Written Materials with Volunteer Signatures

1. **Acknowledgment Form**
   - This is in draft form. Plan on using starting December 2015.
   - Implement Acknowledgement form and add Code of Ethics to annual data privacy training.

2. **Code of Ethics**
   - System in place.
   - Tracking recently became more user friendly with an excel spreadsheet that gives you ‘at a glance’ information with e files where the documentation is stored.
   - No recommendations here.
Risk Assessment

Nonprofit Risk Management Center

• No Surprises Volunteer Risk Management Tutorial

• Free, 30 minute tutorial

• Free, downloadable resources

http://www.nonprofitrisk.org/tools/volunteer/volunteer.shtml
Annual Shadow Visit and Evaluation Form (TX LTCOP)

Annual Shadow Visit and CO Evaluation Form SFY

Volunteer: __________________________ Facility: __________________________
Date: __________________________ Time: __________________________

Was the CO screened for any conflicts of interest in the last year?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
</table>

CO demonstrates knowledge on:

- Confidentiality and consent requirements
- When and how to access medical or other records
- The facility grievance process
- Survey participation
- Abuse, neglect, and exploitation procedures
- Monthly reporting

During annual shadow visit, CO:

- Seemed to know and interacted with residents
- Stayed resident-centered
- Knocked and received permission to enter residents' rooms
- Had a cooperative working relationship with facility staff
- Actively listened to residents and others
- Spoke to hard-to-reach and isolated residents

Annual Volunteer LTCOP Evaluation (Bexar and Alamo AAA, TX LTCOP)

Annual Alamo and Bexar AAA

Volunteer Ombudsman Program Evaluation 2015

As a Volunteer Ombudsman, you are an essential component to the success of the Ombudsman Program. Your responses to the following questions will help us to make our program more effective. Please be as complete and honest as you can. All of the information collected will be kept strictly confidential.

Name: __________________________ Date: __________________________

1) What do you find most rewarding about your Ombudsman work? (Check all that apply)

- Case Resolution
- Interacting with Facility Staff
- Interacting with Residents
- Interacting with Program Staff and Volunteers
- Interacting with Families of Residents
- Inservice on Long-term Care
- Reporting Monthly Activities
- Interacting with Resident/Family Councils

Other (Please Specify)

2) What do you find least rewarding about your Ombudsman work? (Check all that apply)

- Case Resolution
- Interaction with Facility Staff
- Interacting with Residents
- Interacting with Program Staff and Volunteers
- Interacting with Families of Residents
- Inservice on Long-term Care
- Reporting Monthly Activities
- Interacting with Resident/Family Councils

Other (Please Specify)

3) To what extent do you, as a volunteer, believe you are effective at the facility you serve:

With the Residents? (Circle one) Not Effective Somewhat Effective Very Effective
- With Family Members? (Circle one) Not Effective Somewhat Effective Very Effective
- With Staff and Administration? (Circle one) Not Effective Somewhat Effective Very Effective

If Not Effective, Please explain

4) What do you believe to be the most difficult part of your Ombudsman duties?
# Training and Management Tool (NH LTCOP)

[http://ltcombudsman.org/omb_support/volunteer/program-management](http://ltcombudsman.org/omb_support/volunteer/program-management)

## NORS CODES

### Certified Ombudsman Volunteer Representative Guide

<table>
<thead>
<tr>
<th>Volunteer can manage independently</th>
<th>Volunteer must consult with OLTCO staff prior to involvement</th>
<th>Volunteer must notify OLTCO staff - Regional Ombudsman Only</th>
</tr>
</thead>
</table>

## A. ACCESS TO INFORMATION

<table>
<thead>
<tr>
<th>Access to own records</th>
<th>Access to Ombudsman/visitors</th>
<th>Information regarding advance directives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Access to facility survey/staffing reports/license information communicated in understandable language</td>
<td>Information regarding medical condition, treatment and any changes</td>
<td></td>
</tr>
</tbody>
</table>

## B. ACCESS TO INFORMATION

<table>
<thead>
<tr>
<th>Room assignment/room change/intrafacility transfer</th>
<th>Admission contract and/or procedure</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Appeal process - absent, not followed</td>
</tr>
<tr>
<td></td>
<td>Bed hold - written notice, refusal to readmit</td>
</tr>
<tr>
<td></td>
<td>Discharge/eviction - planning, notice, procedure, implementation, abandonment</td>
</tr>
<tr>
<td></td>
<td>Discrimination in admission due to condition, disability</td>
</tr>
<tr>
<td></td>
<td>Discrimination on admission due to Medicaid status</td>
</tr>
</tbody>
</table>
Communication Tips
“Scripts for Crucial Conversations with Volunteers”

• PA Department of Aging Volunteer Engagement Toolkit
  • Management, Program Basics, Recruitment, Supervision, Managing Risk, Retention

• Prompts for conversations about:
  • Performance Coaching
  • Disciplinary Warnings
  • Re-assignment
  • Termination

• Performance scripts (Chapter 6):
  • “If you have a minute, I’d like to talk with you about a program issue. This is an uncomfortable but necessary part of my job. We value your work here and want you to be successful. I’ve noticed that you appear to be struggling with [insert description of current performance gap]. [pause to see if they agree or want to explain.]

  • For your volunteer position, we expect [insert specifics about desired behavior]. What support do you need to meet this expectation? [pause to see if they can arrive at a solution on their own.]

Communication Tips and More…

• **Supporting Volunteer LTC Ombudsmen and Minimizing Risk** (2015 webinar and materials)
  [http://ltcombudsman.org/omb_support/volunteer/calls-webinars#1](http://ltcombudsman.org/omb_support/volunteer/calls-webinars#1)
  - Identifying risk, tips to reduce risk in recruiting, screening, and initial training, and communication tips for challenging situations

• **Archived webinar recordings and materials:**
  [http://ltcombudsman.org/omb_support/volunteer/calls-webinars](http://ltcombudsman.org/omb_support/volunteer/calls-webinars)
  - Create the Good Webinar for LTCO
  - Modernizing Your Program to Attract and Retain Today’s Volunteer
  - Tips for Successful Volunteer Recruitment
Additional Resources

Risk Management

• SMP (Senior Medicare Patrol) Volunteer Risk and Program Management Project
  http://www.smpresource.org/AM/Template.cfm?Section=Volunteer_Management&Template=/CM/HTMLDisplay.cfm&ContentID=6355

• Nonprofit Risk Management Center (free online tutorial, free e-newsletter and resources) www.nonprofitrisk.org

Volunteer Management

• Aging Network Volunteer Collaborative (ANVC)
  http://agingnetworkvolunteercollaborative.org/
NORC Resources and Support

- NORC Resources
- [http://www.ltcombudsman.org/ombudsmen-support/volunteer-management](http://www.ltcombudsman.org/ombudsmen-support/volunteer-management)
  - Getting Started
  - Program Management
  - Volunteer Training
  - Volunteer Recognition
  - Volunteer Management Conference Calls/Webinars
  - Volunteers in the News
  - Volunteer Opportunities

- NORC Compendium on Recruitment, Training, and Retention
- [http://ltcombudsman.org/library/ombudsman-compendium](http://ltcombudsman.org/library/ombudsman-compendium)

- Volunteer Management Network
- Listserv
- Annual webinar

Ombudsman Outlook: News, Resources, and Tips

- Resources, Policy to Practice, News from the Network, Technical Assistance (TA) Hot Topic, LTCO Volunteer Management, Quick Tips
Contact us

www.ltcombudsman.org
ombudcenter@theconsumervoice.org

Connect with us

The National LTC Ombudsman Resource Center

@LTCombudcenter

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