

# PART 3: PERSONNEL AND VOLUNTEERS

- Personnel Policies and Procedures
- Personnel and Volunteer Orientation
- Supervision Practices
- Personnel and Volunteer File Review
- Personnel and Volunteer Interview

*Note that it is required for CSAPs to utilize volunteers in the sexual assault services program.*

Appendix: Sample Policies, Procedures, Plans, and Forms

KEY:

Blue text: Accreditation Standards as provided by OCVA.

Black text: WCSAP guidance.

## PERSONNEL POLICIES AND PROCEDURES

What you submit:

- ✓ **Personnel policies and procedures with the following requirements flagged for review**

What they are reviewed for:

**Agency complies with applicable laws and regulations in regards to fair employment practices and contractual relationships, such as:**

- ✓ Equal Employment Opportunity Act
- ✓ Civil Rights Act of 1964
- ✓ Fair Labor Standards Act
- ✓ Equal Pay Act and Age Discrimination in Employment Practices
- ✓ Occupational Safety and Health Act
- ✓ National Labor Relations Act
- ✓ Americans with Disabilities Act
- ✓ State or local laws, regulations or contractual relations where these are more stringent or supersede federal regulation

Write up a description of how your agency assures compliance with employer and employee regulations and contracts, and how this compliance is monitored and reviewed on an ongoing basis. For example:

*Agency personnel policies and practices have been developed with reference to the legal and contractual requirements.*

The agency has a formal mechanism for monitoring and review of its implementation of policy (like a contract with an HR professional).

- ✓ Agency does not discriminate in employment practices on the basis of age, sex, marital status, sexual orientation, race, creed, color, national origin, citizenship or immigration status, honorably discharged veteran or military status, or the presence of any sensory, mental, or physical disability or the use of a trained dog guide or service animal by a person with a disability (RCW 49.60.200)

List all protected classes in your policy.

Staff, board, and volunteers should reflect the diversity of the community at large

Written authorization for:

- ✓ New hires
- ✓ Terminations (voluntary and involuntary, including written documentation by the agency)
- ✓ Rates of pay
- ✓ Payroll deductions

Director or designee reviews and approves payroll expenditures and time/overtime records

Access to personnel records by the individual

- ✓ Addresses review, addition, and correction by personnel of information contained in their records

Washington State law states an employer "shall, at least annually, upon request of an employee, permit that employee to inspect any or all of his or her own personnel file(s)," RCW 49.12.240. Policy language examples:

- Staff and volunteers may review their own personnel files upon request. Personnel files may not be taken off site, but staff/volunteers can make copies of information in their own file at their expense.
- Staff and volunteers may review their own personnel files annually. With the exception of some basic payroll information, copies may not be made. Personnel files may not be taken from the premises.

An employee has the right to respond to information maintained in their file. For example:

- If an employee does not agree with the employer's determination [about irrelevant or erroneous information] the employee may at their request have placed in the employee's personnel file a statement containing the employee's rebuttal or correction.

Schedule of salaries and benefits

Each CSAP must have a salary and benefit schedule for each position. There is no requirement for what these schedules need to look like, only that they must identify exempt and non-exempt employees and must include benefits as well as salary.

Minutes of Board of Directors, Personnel Committee or its designee indicate annual evaluation of salary and benefit structure.

- ✓ Takes into consideration local or regional standards for similar positions

WSCADV and WCSAP collect occasional salary and benefit data from peer organizations that you can use in your review.

### Periodic review of personnel policies with an opportunity for staff to provide input

Each CSAP must have a policy that outlines how staff, volunteers, and board members are able to give input into changes in policies that affect each group directly (in other words, a volunteer would not be required to give input on a policy that affects only paid staff). Many CSAPs include this policy in their personnel policies. The policy may state something like: "All policies will be reviewed annually. All personnel affected by these policies will have an opportunity to contribute to the review either verbally or in writing."

After developing a policy outlining the agency's commitment to engaging the participation of personnel in policy revisions, the CSAP must outline the procedure that describes how the CSAP plans to solicit input. Some CSAPs offer to give every person affected an opportunity to review draft policies and comment in writing. Others offer the opportunity to hold a meeting of all affected personnel to give input. For accreditation, CSAPs must explain the procedure in writing and show evidence of having completed an annual review with input (from meeting minutes, memos to all personnel, written feedback received, documented interviews, or other evidence).

### Annual review of job descriptions

CSAPs must have a policy for the annual review of job descriptions.

Examples of policy language:

- Job descriptions will be reviewed annually by the staff member performing each job and their supervisor at the time of the employee's annual performance evaluation. When job descriptions are changed, the employee will receive a copy of the new job description immediately and a copy will be entered into their personnel file.
- Job descriptions will be reviewed annually at the agency staff retreat. All staff will have input in the review process.

When the CSAP reviews the job descriptions, it is important to document that the review has happened (e.g. on annual evaluation form, through staff meeting minutes, or in personnel files).

### All staff and direct service volunteers receive a performance evaluation at least one (1) time per year

- ✓ Given the opportunity to sign and comment in writing on the evaluation
- ✓ Given a copy of the evaluation prior to its entry into personnel records

The accreditor is only going to be looking at those who are doing sexual assault work / has sexual assault program responsibilities.

Use of private or agency-owned vehicles to transport clients, if applicable

- ✓ Provision of adequate insurance coverage
- ✓ Appropriate passenger restraint systems (such as car seats)
- ✓ Licensure of drivers

**Addresses conflict of interest or the appearance of conflict of interest on the part of personnel or consultants. Topics addressed must include:**

- ✓ Staff and paid consultants having any direct or indirect financial interest in the agency's assets, business affairs, leases, or professional services
- ✓ Preferential treatment of personnel or consultants in applying for or receipt of the agency's services
- ✓ Steering or directing referrals exclusively to a private practice in which agency personnel, consultants, or their immediate families may be engaged, is prohibited
- ✓ Requires professional workers conducting a private practice on the agency's premises to provide clients with a clear written statement that the client is receiving that worker's services only, and not those of the agency

Boards determine how these conflicts should be addressed. All possible conflicts listed above must be addressed in policy to pass this standard. Please carefully double-check your policies to ensure no possible conflict listed here has been overlooked.

Policy must ensure that steering or directing referrals exclusively to a private practice in which agency personnel, consultants, or their immediate families may be engaged is prohibited.

Frequently-overlooked aspects of this standard are the requirements to explicitly state that Board members, staff, volunteers, and consultants should not be given preferential treatment in applying for or receiving services from the CSAP, and including "paid consultants" in the wording about direct or indirect financial interest.

## **PERSONNEL AND VOLUNTEER ORIENTATION**

What to submit:

### **Personnel and volunteer orientation checklist (blank form)**

What is will be reviewed for:

Includes agency's:

- ✓ Goals
- ✓ Services
- ✓ Service population
- ✓ Collaboration with other community resources
- ✓ Emergency Plan
- ✓ Security procedures

Acknowledgement of receipt of:

- ✓ Personnel policies and procedures
- ✓ Operational policies and procedures

Each CSAP must show that new employees, volunteers, and board members receive copies of applicable personnel policies and procedures. Perhaps the easiest method is to include a signature line for receipt of the manual on the orientation checklist. If the policy/procedures manual is updated, there should be a method to document that all personnel and board members have received the updated version.

## **SUPERVISION PRACTICES**

What to submit:

- ✓ Current organizational chart
- ✓ Description of supervisory practices for staff and volunteers

Write a memo about your supervisory practices for the accreditor to review. When she interviews advocates she will ask them what the supervision practices are as well and she'll be looking for consistency. Job descriptions are insufficient evidence for this standard.

What these are reviewed for:

- ✓ Personnel receive supervision consistent with their varying levels of skills and experience, complexity and size of their workload, and their length of time in current job assignment
- ✓ Holding personnel accountable for the performance of assigned duties and responsibilities

## PERSONNEL AND VOLUNTEER FILE REVIEW

What you submit:

Completed Personnel and Volunteer spreadsheet for all employees and volunteers who have provided core sexual assault services, supervised those who do, or provided management of the sexual assault program (such as the Executive Director or Program Manager, if applicable) in the past two (2) years, including:

- ✓ Start date of employment/volunteer
- ✓ Last date of employment/volunteer (if applicable)
- ✓ Date of last background check
- ✓ Date of last two (2) performance evaluations
- ✓ Month and year of WCSAP approved 30-hour core advocate training
- ✓ Number of hours of ongoing sexual assault training as approved by WCSAP for each of the past two (2) state fiscal years (July 1 – June 30)

A common problem encountered during the accreditation review is that volunteers may take leaves of absence for long periods of time, during which they do not receive ongoing training. Ensure clear documentation of when volunteers are active or inactive, so the accreditor can determine if they have met their training requirements.

Copy of the signed orientation checklist for each employee/volunteer with start date in past two (2) years

Documentation of OCVA's approval of training and experience requirements for the following positions, if there have been transitions since the last review:

- ✓ Director
- ✓ Sexual Assault Services Program Director/Coordinator/Manager
- ✓ Supervisors of employees and volunteers who provide core sexual assault services

Reach out to your OCVA grant manager for this documentation.

What it will be reviewed for:

Personnel records are maintained for all employees and volunteers who provide Core Sexual Assault Services, supervise those who do, or provide management of the sexual assault program (such as the Executive Director or Program Manager, if applicable)

### **Personnel are receiving required:**

- ✓ Orientation
- ✓ 30-hour WCSAP approved initial sexual assault core advocacy training

If a CSAP provides core training, that CSAP must have its WCSAP certification available at accreditation time. If another CSAP provides training to your CSAP, you must have proof of that training's certification available at the time of accreditation.

- ✓ 12 hours of WCSAP approved ongoing sexual assault training completed annually
- ✓ Background checks through the Washington State Patrol (WSP) or another agency accessing WSP information, completed at time of hire and every two (2) years thereafter

Background checks must be completed before personnel begin to provide core services.

- ✓ Performance evaluations completed annually

Evaluation forms can differ from employees to volunteers, but both must have annual evaluations. The accreditation team will review personnel files to see if evaluations have been conducted in a timely manner and that personnel have signed.

Directors, Program Managers/Directors/Coordinators, and Supervisors are approved by OCVA, demonstrating they meet the initial training and experience requirements, as outlined below:

### **Director requirements**

- ✓ Minimum of six (6) years of management experience (college education may substitute, year for year, for no more than a total of four (4) of the years)
- ✓ Minimum of 20 hours of management training specific to not-for-profits, including public or private human services agencies
- ✓ 30-hour WCSAP approved initial sexual assault core advocacy training

### **Sexual Assault Services Program Manager/Director/Coordinator, when not the agency director, requirements**

- ✓ Ten (10) hours of general management training
- ✓ 30-hour WCSAP approved initial sexual assault core advocacy training

### **Supervisors of staff providing core sexual assault services requirements**



- ✓ Two (2) years of relevant experience
- ✓ 30-hour WCSAP approved initial sexual assault core advocacy training

There are times when folks are hired that do not meet this requirement.

When this happens, the CSAP should have received a waiver of the requirements from OCVA – this would be a letter approving the waiver and will also include a training plan and/or any conditions or expectations to address any gaps in experience and/or training. The waiver letter and subsequent approval of requirements should be maintained in the personnel file.

**During the visit, the accreditor will check the following items in staff/volunteer files. Have all files readily accessible for review. The accreditor may check some or all staff/volunteer files for the following items:**

- ✓ Application/resume indicating qualifications for position

**Written documentation (such as a personnel action form or an official letter from the agency) of:**

- ✓ New hire
- ✓ Rates of pay and changes in rates of pay
- ✓ Termination (voluntary or involuntary), if applicable
- ✓ Signed job description

To meet this standard, the CSAP must show evidence that each volunteer and staff member has received a copy of the job description. CSAPs may enclose a signed and dated copy of the job description in each person's personnel file. Or, a CSAP could include a sign-off sheet in each file, indicating each time a new copy is received. Be sure that each employee and volunteer always has a copy of the most up-to-date version of the job description (and that the CSAP has evidence that they have received a current copy).

- ✓ License and insurance for those who transport clients, as required by policy

**Performance evaluations are:**

- ✓ Completed annually
- ✓ Signed by employee
- ✓ Provide space for employee comments

What these are reviewed for:

**Personnel records are maintained for all employees and volunteers who provide core sexual assault services, supervise those who do, or provide**

## **management of the sexual assault program (such as the Executive Director or Program Manager, if applicable)**

### **PERSONNEL AND VOLUNTEER INTERVIEW**

Potential topics addressed could include, but are not limited to:

- ✓ Conflict of interest and preferential treatment of board or staff accessing services
- ✓ How does the agency develop and implement their Diversity, Equity, and Inclusion Plan?
- ✓ How does agency disseminate information about its programs and services?
- ✓ What are the policies and procedures regarding confidentiality?
- ✓ How are clients informed of confidentiality?
  - Personnel may be asked to provide a detailed description and example of how they provide clients information about confidentiality and mandatory reporting.
- ✓ Supervision practices
- ✓ Are performance evaluations annual? Are you given a chance to sign and comment? Are you given a copy?
- ✓ How and what data is collected, and how is it used?
- ✓ How are the results of the planning and evaluation process used?
- ✓ System coordination and community awareness activities

Responses may be used to inform other parts of the review.

The accreditor is looking for consistency in information across the agency. The accreditor is trying to determine if what the advocates say is consistent with the policies/practices on paper. If an advocate doesn't know what a policy says specifically, do they know where to find it to look it up? How do they explain confidentiality to clients? She these topics with advocates who will be interviewed so they can feel prepare.

## **SAMPLE CONFLICT OF INTEREST POLICY LANGUAGE**

### **Policy Example: Referrals to private practitioners**

When referring a client to another service provider, staff and volunteers are expected to give clients a minimum of three referrals when at least three are available. Staff and volunteers are prohibited from referring exclusively to a practice in which agency personnel, consultants, or their immediate family members are engaged. Staff and volunteers are prohibited from receiving payment or providing payment in return for referrals.

### **Policy Example: Governing the transfer of cases in the event workers leave the agency for a private practice**

Staff and volunteers are required to transfer their client caseload to incoming or current staff upon leaving the agency. Former staff members and volunteers are prohibited from continuing to provide services for clients after leaving the agency. Exceptions may be made only for therapy staff in unique situations. In such cases, the Director must agree that this transfer is in the best interest of the client.

### **Policy Example: Regarding private practices conducted on agency premises**

All services provided on agency premises are limited to those provided directly by the CSAP. Staff and volunteers are prohibited from conducting a private practice on agency premises.

Even if the agency does not permit private practices on their premises, they must have a policy that covers this point.

### SAMPLE TRAINING LOG FOR MANAGEMENT

**Fiscal Year :** \_\_\_\_\_ ( July 1 to June 30)

**Name:** \_\_\_\_\_

**Date of Hire:** \_\_\_\_\_

**Date of completion of initial 30-hour Core Sexual Assault Training:**

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Documentation of a minimum of 20 hours of initial management training specific to not-for-profits, including public or private human service agencies for director of organization or a minimum of 10 hours of general management training for sexual abuse/assault program director/coordinator who is not the agency director:

Date of Training	Name of Training	Sponsor of Training	Number of Hours

Attach documentation of at least 12 hours of ongoing management training each year for management staff who do not provide direct services (management staff who also provide direct services may include management training in the required 12 hours of ongoing annual training). See log on next page.

Attach documentation of 6 years of management experience or equivalent as specified.

## SAMPLE ONGOING TRAINING LOG FOR MANAGEMENT

**Fiscal Year :** \_\_\_\_\_ ( July 1 to June 30)

**Name:** \_\_\_\_\_

**Date of Hire:** \_\_\_\_\_

**Date of completion of initial 30-hour Core Sexual Assault Training:**

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Documentation of at least 12 hours of ongoing management training each year for management staff who do not provide direct services (management staff who also provide direct services may include management training in the required 12 hours of ongoing annual training):

<b>Date of Training</b>	<b>Name of Training</b>	<b>Sponsor of Training</b>	<b>Number of Hours</b>

**I certify I have attended the trainings listed above.**

**Staff Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Approval of Supervisor:** \_\_\_\_\_

**Attach documentation of 6 years of management experience or equivalent as specified in Accreditation Standard P10 for the organization's director.**

Name: \_\_\_\_\_ FY: \_\_\_\_\_

**SAMPLE TRAINING LOG FOR DIRECT SERVICE PROVIDERS AND DIRECT SERVICE SUPERVISORS**

**Name:** \_\_\_\_\_

**Date of Hire:** \_\_\_\_\_

**Date of completion of initial 30-hour Core Sexual Assault Training:**

**Fiscal Year:** \_\_\_\_\_ (July 1 to June 30)

**Documentation of at least 12 hours of ongoing sexual abuse/assault training approved by the Washington Coalition of Sexual Assault Programs:**

<b>Date of Training</b>	<b>Name of Training</b>	<b>Sponsor of Training</b>	<b>Number of Hours</b>

**I certify I have attended the trainings listed above.**

**Staff Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Approval of Supervisor:** \_\_\_\_\_

**For Supervisors: Indicate where and when you have received two years of relevant experience as required by the Core Service Standards**

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