



**IMLS HERITAGE CENTERS SUSTAINABILITY PROGRAM**  
**Organizational Leadership and Working with Volunteers Workshop**  
Presented by Boris Frank, Boris Frank Associates, Verona, Wisconsin

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*Plan now to attend a fast-paced educational presentation for board members, staff, and volunteers of museums, libraries and other non-profits*

**Saturday June 13, 2009**  
**9:00 AM to 4:00 PM**  
**Fort Ticonderoga Mars Education Center**  
**Ticonderoga, New York**

In these difficult economic times it is more important than ever for you to understand your organization's governance and fiduciary responsibilities. Attend this session to learn from over thirty years of Boris Frank's experience in the nonprofit field. Boris has helped hundreds of organizations with leadership, strategic planning, fundraising, and recruiting/retaining volunteers. Boris's entertaining and informative style will bring a fresh approach to the way you think about the future of your organization. The session will include:

- **BEST PRACTICES FOR NONPROFITS** – Review of mandatory requirements and latest innovations in IRS and other legal requirements, and best practices for financial management, fundraising, and much more.
- **AGENCY ASSESSMENT** – Help you assess the effectiveness and “organizational fitness” of your nonprofit through effective Board Members and committee meetings, Due Diligence issues, sound management and operations procedures, and much more.
- **WORKING WITH VOLUNTEERS** – Recruiting, Guidelines and Policies, Volunteer Management and much more.



**Boris Frank** has been a senior consultant for over 30 years and president of his own firm since 1982. He was previously on the faculty of the University of Wisconsin - Madison, serving as Manager for Administration and Special Projects for WHA-TV. Prior to that, he was a commercial TV executive in New York and the Caribbean. Boris teaches a broad range of workshops and consults with not-for-profit organizations and is featured in the nationally televised “In Business Today” series. He has served on a variety of volunteer boards including the Big Brothers/Big Sisters, the YMCA, the Perinatal Foundation and the Rotary Club.

**To register for the workshop please contact Drew Alberti, Lakes to Locks Passage Project Manager, at 518-637-4690 or [info@lakestolocks.com](mailto:info@lakestolocks.com). A registration fee of \$10 fee will provide lunch for participants.**

**Boris Frank Associates**

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**IMLS HERITAGE CENTERS SUSTAINABILITY PROGRAM**

**BEST PRACTICES FOR NONPROFITS**

**WORKING WITH VOLUNTEERS**

June 13, 2009

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**Serving Not-For-Profit Organizations Since 1982**

## **BEST PRACTICES**

### **ROLE OF THE BOARD**

#### **Key Responsibilities**

- Represent the “owners;” protect the public interest
- Establish policy
- Planning; setting mission, vision, goals, objectives
- Assure financial health; assure resources are available; approve budget
- Oversight; monitor the performance of the CEO

#### **Basic Principles**

- The principle of prudence and due care; mismanagement and non-management
- The principle of good faith and loyalty
- The principle of personal accountability; avoiding personal benefit, self dealing and conflict of interest

#### **A Good Resource**

**[http://www.mncn.org/info/principles\\_and\\_practices.pdf](http://www.mncn.org/info/principles_and_practices.pdf)**

## **SARBANES-OXLEY IMPLICATIONS FOR NOT-FOR-PROFITS**

Created to rebuild public trust in the corporate community in the wake of corporate and accounting scandals, the American Competitiveness and Corporate Accountability Act, or Sarbanes-Oxley Act, requires that publicly traded companies conform to new standards in financial transactions and audit procedures. As state officials explore ways to apply elements of the law to the nonprofit sector, it is recommended that nonprofits voluntarily incorporate certain provisions of the Act that make good governance sense.

### **1. Insider Transactions and Conflicts of Interest**

- Understand and fully comply with all laws regarding compensation and benefits provided to directors and executives (including "intermediate sanctions" and "self-dealing" laws).
- Do not provide personal loans to directors and executives.
- In cases in which the board feels it is necessary to provide a loan, however, all terms should be disclosed and formally approved by the board, the process should be documented, and the terms and the value of the loan should be publicly disclosed.
- Establish a conflict of interest policy and a regular and rigorous means of enforcing it.

### **2. Independent and Competent Audit Committee**

- Conduct an annual external financial audit (the boards of very small organizations, for whom the cost of an external audit may be too burdensome, should at least evaluate carefully whether an audit would be valuable).
- Establish a separate audit committee of the board.
- Board members on the audit committee should be free from conflicts of interest and should not receive any compensation for their service on the committee.
- Include at least one "financial expert" on the audit committee.
- The audit committee should select and oversee the auditing company and review the audit.
- Require full board to approve audit results.
- Provide financial literacy training to all board members.

### **3. Responsibilities of Auditors**

- Rotate auditor or lead partner at least every five years.
- Avoid any conflict of interest in staff exchange between audit firm and organization.
- Do not use auditing firm for non-auditing services except tax form preparation with pre-approval from audit committee.
- Require disclosure to audit committee of critical accounting policies and practices.
- Use audit committee to oversee and enforce conflict-of-interest policy.

### **4. Certified Financial Statements**

- CEO and CFO should sign off on all financial statements (either formally or in practice), including Form 990 tax returns, to ensure they are accurate, complete, and filed on time.
- The board should review and approve financial statements and Form 990 tax returns for completeness and accuracy.

## **5. Disclosure**

- Disclose Form 990 and 990-PF in a current and easily accessible way (also required of all nonprofit organizations by IRS law).
- File 990 and 990-PF Forms in a timely manner, without use of extensions unless required by unusual circumstances.
- Disclose audited financial statements.
- Move to electronic filing of Form 990 and 990-PF.

## **6. Whistle-Blower Protection**

- Develop, adopt, and disclose a formal process to deal with complaints and prevent retaliation.
- Investigate employee complaints and correct any problems or explain why corrections are not necessary.

## **7. Document Destruction**

- Have a written, mandatory document retention and periodic destruction policy, which includes guidelines for electronic files and voicemail.
- If an official investigation is underway or even suspected, stop any document purging in order to avoid criminal obstruction.

## **ABC ORGANIZATION**

### **STANDARDS OF PRACTICE**

ABC subscribes to the Better Business Bureau Standards of Practice.

The BBB Wise Giving Alliance Standards for Charity Accountability were developed to assist donors in making sound giving decisions and to foster public confidence in charitable organizations. The standards seek to encourage fair and honest solicitation practices, to promote ethical conduct by charitable organizations and to advance support of philanthropy.

These standards replace the separate standards of the National Charities Information Bureau and the Council of Better Business Bureaus' Foundation and its Philanthropic Advisory Service that were in place at the time the organizations merged.

The Standards for Charity Accountability were developed with professional and technical assistance from representatives of small and large charitable organizations, the accounting profession, grant making foundations, corporate contributions officers, regulatory agencies, research organizations and the Better Business Bureau system. The BBB Wise Giving Alliance also commissioned significant independent research on donor expectations to ensure that the views of the general public were reflected in the standards.

The generous support of the Charles Stewart Mott Foundation, the Surdna Foundation, and Sony Corporation of America helped underwrite the development of these standards and related research.

Organizations that comply with these accountability standards have provided documentation that they meet basic standards:

- In how they govern their organization,
- In the ways they spend their money,
- In the truthfulness of their representations, and
- In their willingness to disclose basic information to the public.

These standards apply to publicly soliciting organizations that are tax exempt under section 501(c)(3) of the Internal Revenue Code and to other organizations conducting charitable solicitations. The standards are not intended to apply to private foundations, as they do not solicit contributions from the public.

The overarching principle of the BBB Wise Giving Alliance Standards for Charity Accountability is full disclosure to donors and potential donors at the time of solicitation and thereafter. However, where indicated, the standards recommend ethical practices beyond the act of disclosure in order to ensure public confidence and encourage giving. As voluntary standards, they also go beyond the requirements of local, state and federal laws and regulations.

In addition to the specific areas addressed in the standards, the BBB Wise Giving Alliance encourages charitable organizations to adopt the following management practices to further the cause of charitable accountability.

- Initiate a policy promoting pluralism and diversity within the organization's board, staff, and constituencies. While organizations vary widely in their ability to demonstrate pluralism and diversity, every organization should establish a policy, consistent with its mission statement, that fosters such inclusiveness.
- Ensure adherence to all applicable local, state and federal laws and regulations including submission of financial information.
- Maintain an organizational adherence to the specific standards cited below. The BBB Wise Giving Alliance also encourages charities to maintain an organizational commitment to accountability that transcends specific standards and places a priority on openness and ethical behavior in the charity's programs and activities.

## STANDARDS FOR CHARITABLE ACCOUNTABILITY

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### GOVERNANCE AND OVERSIGHT

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*The governing board has the ultimate oversight authority for any charitable organization. This section of the standards seeks to ensure that the volunteer board is active, independent and free of self-dealing. To meet these standards, the organization shall have:*

- 1. A board of directors that provides adequate oversight of the charity's operations and its staff.** Indication of adequate oversight includes, but is not limited to, regularly scheduled appraisals of the CEO's performance, evidence of disbursement controls such as board approval of the budget, fund raising practices, establishment of a conflict of interest policy, and establishment of accounting procedures sufficient to safeguard charity finances.
- 2. A board of directors with a minimum of five voting members.**
- 3. A minimum of three evenly spaced meetings per year of the full governing body with a majority in attendance, with face-to-face participation.** A conference call of the full board can substitute for one of the three meetings of the governing body. For all meetings, alternative modes of participation are acceptable for those with physical disabilities.
- 4. Not more than one or 10% (whichever is greater) directly or indirectly compensated person(s) serving as voting member(s) of the board. Compensated members shall not serve as the board's chair or treasurer.**
- 5. No transaction(s) in which any board or staff members have material conflicting interests with the charity resulting from any relationship or business affiliation.** Factors that will be considered when concluding whether or not a related party transaction constitutes a conflict of interest and if such a conflict is material, include, but are not limited to: any arm's length procedures established by the charity; the size of the transaction relative to like expenses of the charity; whether the interested party participated in the board vote on the transaction; if competitive bids were sought and whether the transaction is one-time, recurring or ongoing.

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## MEASURING EFFECTIVENESS

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*An organization should regularly assess its effectiveness in achieving its mission. This section seeks to ensure that an organization has defined, measurable goals and objectives in place and a defined process in place to evaluate the success and impact of its program(s) in fulfilling the goals and objectives of the organization and that also identifies ways to address any deficiencies. To meet these standards, a charitable organization shall:*

- 6. Have a board policy of assessing, no less than every two years, the organization's performance and effectiveness and of determining future actions required to achieve its mission.**
- 7. Submit to the organization's governing body, for its approval, a written report that outlines the results of the aforementioned performance and effectiveness assessment and recommendations for future actions.**

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## FINANCES

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*This section of the standards seeks to ensure that the charity spends its funds honestly, prudently and in accordance with statements made in fund raising appeals. To meet these standards, the charitable organization shall:*

Please note that standards 8 and 9 have different denominators.

- 8. Spend at least 65% of its total expenses on program activities.**

**Formula for Standard 8:**

Total Program Service Expenses	
Total Expenses	should be at least 65%

- 9. Spend no more than 35% of related contributions on fund raising.** Related contributions include donations, legacies, and other gifts received as a result of fund raising efforts.

**Formula for Standard 9:**

Total Fund Raising Expenses	
Total Related Contributions	should be no more than 35%

**10. Avoid accumulating funds that could be used for current program activities. To meet this standard, the charity's unrestricted net assets available for use should not be more than three times the size of the past year's expenses or three times the size of the current year's budget, whichever is higher.**

An organization that does not meet Standards 8, 9 and/or 10 may provide evidence to demonstrate that its use of funds is reasonable. The higher fund raising and administrative costs of a newly created organization, donor restrictions on the use of funds, exceptional bequests, a stigma associated with a cause and environmental or political events beyond an organization's control are among factors which may result in expenditures that are reasonable although they do not meet the financial measures cited in these standards.

**11. Make available to all, on request, complete annual financial statements prepared in accordance with generally accepted accounting principles.** When total annual gross income exceeds \$250,000, these statements should be audited in accordance with generally accepted auditing standards. For charities whose annual gross income is less than \$250,000, a review by a certified public accountant is sufficient to meet this standard. For charities whose annual gross income is less than \$100,000, an internally produced, complete financial statement is sufficient to meet this standard.

**12. Include in the financial statements a breakdown of expenses (e.g., salaries, travel, postage, etc.) that shows what portion of these expenses was allocated to program, fund raising, and administrative activities.** If the charity has more than one major program category, the schedule should provide a breakdown for each category.

**13. Accurately report the charity's expenses, including any joint cost allocations, in its financial statements.** For example, audited or unaudited statements which inaccurately claim zero fund raising expenses or otherwise understate the amount a charity spends on fund raising, and/or overstate the amount it spends on programs will not meet this standard.

**14. Have a board-approved annual budget for its current fiscal year, outlining projected expenses for major program activities, fund raising, and administration.**

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## FUND RAISING AND INFORMATIONAL MATERIALS

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*A fund raising appeal is often the only contact a donor has with a charity and may be the sole impetus for giving. This section of the standards seeks to ensure that a charity's representations to the public are accurate, complete and respectful. To meet these standards, the charitable organization shall:*

**15. Have solicitations and informational materials, distributed by any means, that are accurate, truthful and not misleading, both in whole and in part.** Appeals that omit a clear description of program(s) for which contributions are sought will not meet this standard.

A charity should also be able to substantiate that the timing and nature of its expenditures are in accordance with what is stated, expressed, or implied in the charity's solicitations.

16. Have an annual report available to all, on request, that includes:

- **the organization's mission statement,**
- a summary of the past year's program service accomplishments,
- roster of the officers and members of the board of directors,
- financial information that includes (i) total income in the past fiscal year, (ii) expenses in the same program, fund raising and administrative categories as in the financial statements, and (iii) ending net assets.

17. Include on any charity websites that solicit contributions, the same information that is recommended for annual reports, as well as the mailing address of the charity and electronic access to its most recent IRS Form 990.

18. Address privacy concerns of donors by

- a. **providing in written appeals, at least annually, a means (e.g., such as a check off box) for both new and continuing donors to inform the charity if they do not want their name and address shared outside the organization, and**
- b. **providing a clear, prominent and easily accessible privacy policy on any of its websites that tells visitors (i) what information, if any, is being collected about them by the charity and how this information will be used, (ii) how to contact the charity to review personal information collected and request corrections, (iii) how to inform the charity (e.g., a check off box) that the visitor does not wish his/her personal information to be shared outside the organization, and (iv) what security measures the charity has in place to protect personal information.**

19. Clearly disclose how the charity benefits from the sale of products or services (i.e., cause-related marketing) that state or imply that a charity will benefit from a consumer sale or transaction. Such promotions should disclose, at the point of solicitation:

- a. **the actual or anticipated portion of the purchase price that will benefit the charity (e.g., 5 cents will be contributed to ABC charity for every xyz company product sold),**
- b. **the duration of the campaign (e.g., the month of October),**
- c. **any maximum or guaranteed minimum contribution amount (e.g., up to a maximum of \$200,000).**

20. Respond promptly to and act on complaints brought to its attention by the BBB Wise Giving Alliance and/or local Better Business Bureaus about fund raising practices, privacy policy violations and/or other issues.

## **WORKING WITH VOLUNTEERS**

### **THE NUMBERS**

74% say they volunteer - 10% increase over previous year

68% college grads

72% attend weekly religious services

62% had income of 75,000+

75% moral values

47% gain new experience

42% obligated because they received help from a volunteer

39% new way to meet people

50% believe donating \$ easier than volunteering (13% increase); 32% easier to volunteer (10% decrease);  
14% equally important

## VOLUNTEER PRACTICES

- Serve without pay
- Supplement, not supplant, paid staff
  - Integrate into staff structure
  - Personalized contract
  - Clear commitment
- Provide adequate time and financial resources to train and utilize volunteers
  - Screen appropriately; background checks
- Treat volunteers with respect
- Provide professional supervision
- Regularly evaluate and review
  - Provide opportunities for advancement, reassignment
- Apply agency personnel policies, volunteer rights and responsibilities
  - Grievance procedure
  - Insurance
- Provide for special needs

## RECRUITING VOLUNTEERS

- 50% are asked
- **50% are not asked**
- Of those who are asked...63% volunteer

**Moral: ASK!**

**SOURCES OF VOLUNTEERS**

- Internal references; satisfied clients
- Retirees
- Youth
- Families
- Corporations and businesses
- Service clubs
- Churches

**RECRUITMENT TECHNIQUES**

- Internal
- Volunteer fairs
- Corporate
- Media
- Schools
- RSVP, VAC, volunteer placement organization

**HOW DID YOU HEAR ABOUT THE OPPORTUNITY?**

- |                                   |     |
|-----------------------------------|-----|
| • Asked by someone                | 40% |
| • From member of the organization | 39% |
| • From family member or friend    | 28% |
| • Volunteered on own              | 19% |
| • Responded to advertisement      | 5%  |

**WHY PEOPLE SAY “NO”**

- |                             |     |
|-----------------------------|-----|
| • Too busy                  | 51% |
| • Physically unable         | 12% |
| • Lack of interest          | 10% |
| • Didn't want to            | 8%  |
| • Not available when needed | 5%  |

**WHY VOLUNTEERS LOSE INTEREST**

- Unfulfilled expectations
- Feeling of not making a difference; unrewarding
- Too routine; no variety
- Lack of support
- No chance for growth, advancement
- Not involved in planning and problem solving
- Tension among co-workers, with paid staff; not feeling part of the “team”
- No recognition
- Personal needs not met

**VOLUNTEER POLICIES AND HANDBOOK**

**Boris Frank Associates**

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## **VOLUNTEER POLICIES**

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**Serving Not-For-Profit Organizations Since 1982**

**The VOLUNTEER HANDBOOK is an integral part  
of this VOLUNTEER POLICY document**

These Volunteer Policies were prepared with the generous  
support of the Northland Foundation

**Permission is granted to any not-for-profit organization  
to utilize or adapt information incorporated in this document  
for non-commercial purposes**

**When using, please credit The Damiano Center of Duluth, The Northland Foundation and Boris  
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## **UTILIZATION OF VOLUNTEERS**

ABC and its various programs encourage the involvement of volunteers at all levels of the organization and within all appropriate programs and activities.

All ABC staff are encouraged to assist in the creation of meaningful and productive roles in which volunteers of all capabilities and skills might serve and to assist in recruitment of volunteers from among its clientele and the community at large.

## **PURPOSE OF THESE POLICIES**

These policies provide general guidelines for the involvement and management of volunteers. We recognize that the needs of departments and programs vary. Therefore, it is expected that implementation of these policies and procedures may vary and that special circumstances may call for more or less stringent application of the policies and procedures, depending upon the special needs of the program or the volunteer.

Any substantive deviation from these policies and procedures requires the prior approval of the appropriate Program Manager.

## **RECRUITMENT**

ABC is committed to meeting the special needs of its volunteers.

Particular effort will be devoted to recruiting individuals reflecting ABC's clientele and those not traditionally identified in the community's volunteer base.

Among these are:

- Individuals with physical and mental disabilities or restrictions
- Students and interns
- Individuals in alternative sentencing and diversion programs
- ABC clients

In certain cases, written agreements must be in effect with sponsoring organizations (such as the court system, educational institutions and special referral programs) that include specification of responsibility for the management and care of the volunteer.

## **EMPLOYEES AND THEIR RELATIVES AS VOLUNTEERS**

ABC accepts the services of staff as volunteers. This service is accepted provided the volunteer does so of their own free will and it involves work outside the scope and normal working hours of the staff member's normal duties.

Relatives of ABC employees are welcomed as volunteers so long as there is no conflict of interest with the official responsibilities of the staff member.

## **CLIENTS AND THEIR RELATIVES AS VOLUNTEERS**

ABC clients may be accepted as volunteers, provided such service does not constitute an obstruction to or conflict with provision of services to the client or to others.

## **GENERAL MANAGEMENT POLICIES AND PROCEDURES**

- Volunteer **personnel records** are accorded the same **confidentiality** as staff personnel records.
- No person who has a **conflict of interest** with any program of ABC, whether personal, philosophical, or financial shall be accepted as a volunteer.
- A **Volunteer Request Form and Position Description** should be prepared for each volunteer position. See Appendix A for a sample.
- Long term volunteers should complete the Long Form (Appendix C.) The Short Form should be used for 1-time or short term volunteers (Appendix B.)
- A **signed written consent form** must be on file from the parent or guardian of anyone under the age of 18. The form is included in the Long Application Form, Appendix C.

- In certain sensitive circumstances, **health and physical screening, criminal records check, reference checks or other special screening** may be required prior to assignment. This information should be included in the Volunteer Position Description.
- All staff working with volunteers will be required to participate in an annual **staff in-service training and review program**.

### **TRAINING AND ORIENTATION**

All ABC volunteers will be appropriately trained to perform their assignment.

Training will vary depending upon the complexity of the position filled. In some cases it may be as little as a brief conversation explaining the tasks involved (e.g. serving at a single special event) or as extensive as formal training and mentoring (e.g. long term administrative responsibilities.)

In most cases volunteers with continuing responsibilities will participate in formal training that will include the following components:

- A volunteer position description and expected performance standards
- Volunteer Handbook
- Assignment of a staff or volunteer supervisor

### **EVALUATION**

In general, volunteers may be formally evaluated and provided the opportunity to discuss their performance, ideas, suggestions and concerns, at least annually. A written record of the evaluation will be placed in the volunteer's personnel file. Regular evaluation is viewed as an opportunity to examine and improve the working relationship. Sample evaluation forms are included in Appendix E.

## **VOLUNTEER BENEFITS AND RECOGNITION**

In addition to formal recognition events, staff is encouraged to implement ongoing and regular informal acknowledgement of volunteers.

Recognition ideas are listed in Appendix D.

## **GRIEVANCES, COMPLAINTS AND DISPUTE RESOLUTION**

Whenever possible conflicts, complaints and grievances should be resolved informally with the assistance of the volunteer's supervisor or another staff member. If informal resolution is not possible, volunteers may utilize the ABC staff grievance procedure.

If a volunteer wishes to file a formal grievance or complaint, a copy of the policies and procedures, available in the ABC Policy Book, should be provided to the volunteer.

## **TERMINATION**

ABC or the volunteer may terminate the relationship at any time, for any reason.

Whenever possible, an **Exit Interview** should be held and the results included in the volunteer's personnel file. The form included in Appendix E should be used in cases of termination.

## **APPENDIX**

Appendix A	Volunteer Request Form/Position Description
Appendix B	Volunteer Application/Information Form (Short)
Appendix C	Volunteer Application/Information Form (Long)
Appendix D	Evaluation and Termination Forms
Appendix E	Recognition Ideas

**APPENDIX A**    **VOLUNTEER REQUEST FORM/POSITION DESCRIPTION**

**ABC**

**VOLUNTEER REQUEST FORM/POSITION DESCRIPTION**

Department or Program \_\_\_\_\_ Date \_\_\_\_\_

Person requesting \_\_\_\_\_ Phone \_\_\_\_\_

Volunteer Title/Description \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Date(s) needed:    From \_\_\_\_\_ To \_\_\_\_\_

Hours:                From \_\_\_\_\_ To \_\_\_\_\_

Reports to \_\_\_\_\_

Any special skills, training or requirements? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Notes/comments \_\_\_\_\_

\_\_\_\_\_

**ACTION TAKEN**

\_\_\_\_\_

\_\_\_\_\_

**APPENDIX B    VOLUNTEER APPLICATION/INFORMATION**

**(SHORT FORM)**

**ABC**

**VOLUNTEER APPLICATION/INFORMATION**

**(Please Print)**

**Date**\_\_\_\_\_

**Last Name**\_\_\_\_\_ **First Name**\_\_\_\_\_ **Initial**\_\_\_\_\_

**Address**\_\_\_\_\_ **City**\_\_\_\_\_ **State**\_\_\_\_ **Zip**\_\_\_\_\_

**Home Phone**\_\_\_\_\_ **Day Phone**\_\_\_\_\_ **Cell Phone**\_\_\_\_\_

**E-Mail**\_\_\_\_\_

**Contact in Case of Emergency**\_\_\_\_\_

**Day Phone**\_\_\_\_\_ **Home Phone**\_\_\_\_\_

\_\_\_\_\_  
**Signature**

**APPENDIX C    VOLUNTEER APPLICATION/INFORMATION****(LONG FORM)****ABC****VOLUNTEER APPLICATION/INFORMATION****(Please Print)**

Date \_\_\_\_\_

Last Name \_\_\_\_\_ First Name \_\_\_\_\_ Initial \_\_\_\_\_

Other Names Used \_\_\_\_\_

Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Home Phone \_\_\_\_\_ Work Phone \_\_\_\_\_ Cell Phone \_\_\_\_\_

E-Mail \_\_\_\_\_

Contact in Case of Emergency \_\_\_\_\_

Work Phone \_\_\_\_\_ Home Phone \_\_\_\_\_

If Employed, Name of Firm \_\_\_\_\_

If Student, Name of School \_\_\_\_\_

Any Health or Physical Restrictions? \_\_\_\_\_

Previous Volunteer Experience \_\_\_\_\_

I am Interested in Volunteering in the Following Areas or Capacities:

Special Skills \_\_\_\_\_

**Page 2**

**Driver's License #** \_\_\_\_\_ **State** \_\_\_\_\_

**What types of vehicles are you licensed to drive?** \_\_\_\_\_

\_\_\_\_\_

**State ID #** \_\_\_\_\_ **State** \_\_\_\_\_

**Within the last 5 years have you been convicted of any crime? Please explain** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**What types of recognition do you prefer/not prefer?** \_\_\_\_\_

\_\_\_\_\_

**Days and Hours Available** \_\_\_\_\_

**How did you hear about ABC volunteer opportunities?** \_\_\_\_\_

\_\_\_\_\_

**Why do you want to volunteer at ABC?** \_\_\_\_\_

\_\_\_\_\_

**Page 3**

**Additional Information Related to your Application to Volunteer** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

**Consent for Volunteers Under 18 Years of Age**

*I give consent for my child's participation in ABC Volunteer Program.*

*Signature of Parent or Guardian* \_\_\_\_\_

*Date* \_\_\_\_\_

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**Confidentiality Agreement**

*By signing this application, I agree to treat all information I may hear, see, read or otherwise acquire as highly confidential and I will not reveal or discuss this information outside my official duties at ABC.*

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**Publicity Consent**

*My we use your name and/or likeness (photo) in publicity related to ABC?*

*Yes*                       *No*

*Signature of Applicant* \_\_\_\_\_ *Date* \_\_\_\_\_

-----  
Staff intake \_\_\_\_\_

Referred to \_\_\_\_\_ Date \_\_\_\_\_

Comments \_\_\_\_\_  
\_\_\_\_\_

**APPENDIX D    EVALUATION AND TERMINATION FORM**

**ABC**

**VOLUNTEER FEEDBACK AND EVALUATION**

Name of volunteer \_\_\_\_\_ Date \_\_\_\_\_

Person conducting evaluation \_\_\_\_\_

Volunteer position \_\_\_\_\_

Purpose of evaluation:

\_\_\_\_ Regular evaluation    \_\_\_\_ Termination

**VOLUNTEER FEEDBACK**

Why did you volunteer? \_\_\_\_\_

\_\_\_\_\_

What do you like about volunteering at ABC? \_\_\_\_\_

\_\_\_\_\_

What frustrations or problems have you encountered? \_\_\_\_\_

\_\_\_\_\_

What could be improved/what suggestions do you have? \_\_\_\_\_

\_\_\_\_\_

Do you plan to continue to volunteer at ABC?

\_\_\_\_ Yes    \_\_\_\_ Undecided    \_\_\_\_ No (Why not? \_\_\_\_\_)

On a scale of 1-5, rate the following:

1 = Poor 2 = Fair 3 = Average 4 = Good 5 = Excellent

1 2 3 4 5 How I was recruited

1 2 3 4 5 Training and orientation

1 2 3 4 5 Acceptance and support by staff

1 2 3 4 5 Acceptance and support by other volunteers

1 2 3 4 5 Satisfaction with the volunteer position I fill

1 2 3 4 5 Importance of the volunteer position I fill

1 2 3 4 5 Working environment

1 2 3 4 5 Supervision and direction

1 2 3 4 5 Evaluation and feedback

1 2 3 4 5 Recognition

Do you have any other comments or suggestions? \_\_\_\_\_

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**STAFF/SUPERVISOR FEEDBACK AND EVALUATION**

On a scale of 1-5, rate the volunteer on the following:

1 = Poor 2 = Fair 3 = Average 4 = Good 5 = Excellent

1 2 3 4 5 How effective was the volunteer?

Comments \_\_\_\_\_  
\_\_\_\_\_

1 2 3 4 5 Willingness to learn and take direction

Comments \_\_\_\_\_  
\_\_\_\_\_

1 2 3 4 5 Ability to work with other staff and volunteers

Comments \_\_\_\_\_  
\_\_\_\_\_

1 2 3 4 5 Ability to relate to ABC clients and guests

Comments \_\_\_\_\_  
\_\_\_\_\_

1 2 3 4 5 Ability to supervise others/take on added responsibilities

Comments \_\_\_\_\_  
\_\_\_\_\_

**RECOMMENDATIONS/ACTION**

- \_\_\_ Retain in current volunteer position
- \_\_\_ Move/refer to \_\_\_\_\_
- \_\_\_ Make the following changes in volunteer responsibilities \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- \_\_\_ Provide the following training/orientation \_\_\_\_\_  
\_\_\_\_\_
- \_\_\_ Provide the following recognition \_\_\_\_\_  
\_\_\_\_\_
- \_\_\_ Terminate      Reasons: \_\_\_\_\_  
\_\_\_\_\_

Other comments \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Staff/supervisor signature \_\_\_\_\_ Date \_\_\_\_\_

## **APPENDIX E      RECOGNITION IDEAS**

- ❖ Honor the “Volunteer of the Month”
- ❖ Put up a Volunteer Bulletin Board. Post items of interest about ABC volunteers
- ❖ Issue a Volunteer ID Card that offers discounts at local stores
- ❖ Send handwritten cards on holidays, birthdays
- ❖ Post digital photographs and bio’s of new volunteers
- ❖ Appoint especially skilled volunteers as “Volunteer Trainers”
- ❖ Include years of service on name tags
- ❖ Place articles about special volunteers in the local press
- ❖ Issue “I Volunteer at ABC” bumper stickers
- ❖ Introduce a volunteer at each Board meeting; invite them to sit in and participate in the meeting

**APPENDIX F    INTAKE CHECKLIST**

- \_\_\_ Discuss ABC mission and values
- \_\_\_ Review volunteer opportunities
- \_\_\_ Position descriptions and qualifications
- \_\_\_ Provide and discuss Volunteer Handbook and policies
- \_\_\_ Expectations of volunteer; of ABC
- \_\_\_ Code of conduct
- \_\_\_ Confidentiality
- \_\_\_ Background check
- \_\_\_ References
- \_\_\_ Security, safety, emergency procedures
- \_\_\_ Transportation; parking
- \_\_\_ Training and orientation
- \_\_\_ Scheduling
- \_\_\_ Feedback and evaluation
- \_\_\_ Recognition
- \_\_\_ Conflicts of interest
- \_\_\_ Grievance and complaint procedure
- \_\_\_ Tour building

- \_\_\_ Introduce to staff, other volunteers
- \_\_\_ Check in/out procedures; important phone numbers
- \_\_\_ Name tag
- \_\_\_ Sign waivers, consent forms

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## **VOLUNTEER HANDBOOK**

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**Serving Not-For-Profit Organizations Since 1982**

This Volunteer Handbook was prepared with the generous  
support of the Northland Foundation

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## **WELCOME**

Thank you for agreeing to volunteer for ABC.

We sincerely hope that your volunteer experience with us will be enjoyable and rewarding.

Our volunteers play an extremely important role in providing quality services to the many guests and clients who utilize ABC's services and programs.

This Volunteer Handbook is intended to spell out the policies and procedures related to volunteering at ABC and to answer questions you may have regarding how we operate.

If you have any concerns or questions not addressed in this Handbook, please do not hesitate to bring them to my attention.

## **ABC MISSION**

## **STATEMENT OF ABC VALUES**

## **DEFINITION OF VOLUNTEER**

A volunteer is anyone who, without compensation beyond reimbursement of approved expenses, performs a task at the direction of, and on behalf of ABC and its programs.

Unless specifically stated, a volunteer is not considered an ‘employee’ of ABC.

## **ABC VOLUNTEER OPPORTUNITIES**

- 
- 
- 
- 
- 

## **BEFORE YOU START VOLUNTEERING**

We may ask you to complete a Volunteer Application Form that includes personal information about yourself, emergency contact information, personal references and information and past job and volunteer experience. We will treat this information confidentially and will utilize it only for the purposes of considering you as a ABC volunteer.

We want ABC to be a safe and secure environment for everyone.

Depending upon the nature of the volunteer position, we may require a health or physical screening, a criminal background check, a motor vehicle driving record check and a reference check.

## **WHEN YOU START VOLUNTEERING**

You will be trained and oriented for the volunteer position and provided general information about ABC and its programs, policies and procedures.

We may ask you to sign a formal Volunteer Agreement that spells out the terms and conditions of your relationship to ABC.

## **YOU CAN EXPECT ABC TO**

- Properly and professionally interview you and place you in an appropriate volunteer position
  
- Provide you with a volunteer position description
  
- Provide ongoing professional supervision, support and training
  
- Treat you with respect and courtesy
  
- Keep you informed about matters related to your volunteer position
  
- Regularly evaluate your performance and provide you with opportunities to make suggestions and present ideas that will improve ABC services

**WE EXPECT YOU TO**

- Only accept a volunteer position you believe you can perform
- Work as a team member within the description of the position you accept
- Accept the guidance and direction of your supervisor
- Respect confidentiality
- Refuse gifts or tips from recipients of service
- Arrive on time for your shift; stay until the end of your shift
- Bring any concern, problem or grievance to the attention of your supervisor
- Notify us in advance if you are unable to fulfill a volunteer obligation
- Be free of drugs and alcohol when volunteering
- Accept the *Value Statements* that guide ABC services

## **DRUG, ALCOHOL AND SMOKING POLICIES**

ABC is a drug and alcohol free environment. Volunteers possessing illegal drugs or alcoholic beverages, or judged by their supervisor to be under the influence of drugs or alcohol, may be suspended or terminated.

Smoking is not permitted when a volunteer is on duty. During breaks at ABC, smoking is permitted only in designated outdoor areas.

## **FIREARMS AND DANGEROUS WEAPONS**

Firearms, knives and other personal weapons are not permitted in ABC. You may be suspended or terminated if you have such weapons in your possession.

## **SAFETY AND SECURITY**

We want ABC to be a safe and secure environment for people to provide and use services. If you see an unsafe or dangerous situation, notify your supervisor. If your supervisor is not available, notify the staff person closest to where you are volunteering. In the rare event where a staff person is not immediately available to help with a safety or health emergency, dial 911 for help.

Always wear your nametag when volunteering. This indicates you are serving in an official capacity for ABC.

Be sure to re-lock any doors behind you as you move through secure parts of the building.

We suggest you leave all personal valuables at home or locked in your car. We do not have facilities for the safe keeping of such items.

## **PERSONAL RELATIONSHIPS**

We realize that while you are volunteering, close working relationships can lead to closer personal relationships.

It is our policy to strictly forbid any unwelcome or inappropriate contact, approach or comment that makes anyone feel uncomfortable or threatened. Such conduct may be cause for immediate termination of the volunteer relationship.

If you encounter or are aware of any such behavior, bring it to the attention of your supervisor.

## **GRIVANCES OR COMPLAINTS**

ABC has a formal grievance and complaint policy and process.

If you have any issues that cannot be resolved informally, see your supervisor for a copy of the formal process.

## **PARKING AND TRANSPORTATION**

Parking may be available adjacent to and near the building. However, ABC cannot be responsible for any damage or loss to your vehicle or its contents. If you are using a car for transportation, let your supervisor know and we will suggest parking options.

If public transportation is unavailable or inconvenient, we suggest car-pooling. We will be happy to assist you in linking up with other volunteers and staff and selecting the best way to get here.

## **SPECIAL NEEDS AND ACCESSIBILITY**

ABC is fully accessible.

If you have any special needs relating to accessibility that might effect your volunteer position, please let us know. We will do everything possible to accommodate to your situation.

**AGENCY ASSESSMENT**

**POLICIES, PRINCIPLES, GUIDELINES AND “BEST PRACTICES”]**

**Due Diligence Issues for Board Members**

**Revised May 22, 2009**

**Issues may apply differently to specific organizations depending on size of agency, size of staff, how long the organization has been in existence, type of agency and statutory regulations of the state in which you are located.**

**We recommend, other than those that are legally required, adopting policies and procedures that work best for your organization.**

To help evaluate the effectiveness of our organization, please complete this questionnaire using the following scale:

1. Not or never true
2. Rarely true
3. True 50% of the time
4. Usually true
5. Always or absolutely true
6. Do not know
7. Does not apply

### **BOARD**

1. \_\_\_ Board members understand the roles and responsibilities of a board
2. \_\_\_ Our bylaws are up to date and effective
- 3 \_\_\_ We follow our bylaws
4. \_\_\_ Board members understand the principles of “due care and diligence, prudence, good faith and loyalty”
5. \_\_\_ There is a formal process for selecting board members
6. \_\_\_ Community diversity is represented on the board
7. \_\_\_ A substantial majority of the board members are independent and do not receive personal benefit from the agency
8. \_\_\_ The bylaws define board terms, which are enforced
9. \_\_\_ There are written, current board job descriptions
10. \_\_\_ There are written, current performance standards for board members
11. \_\_\_ Board members are not compensated, other than for reasonable expenses
12. \_\_\_ New board members are adequately oriented and trained
13. \_\_\_ The board works well together

14. \_\_\_ There are people on the board with financial and nonprofit accounting expertise who review the financial reports
15. \_\_\_ The board and its members regularly evaluate their effectiveness
16. \_\_\_ Board meetings are effective, well run and deal with important issues
17. \_\_\_ Board and committee meetings start and end on time
18. \_\_\_ The Board receives an agenda, including committee, Executive Director reports and related documents in advance of board meetings
19. \_\_\_ Board minutes are kept, reflecting actions and dissent
20. \_\_\_ Board members review advance information and come prepared to meetings
21. \_\_\_ Board and staff conflict of interest and loyalty policies are in place
22. \_\_\_ Privacy and confidentiality policies are in place
23. \_\_\_ All board members receive and understand financial reports
24. \_\_\_ The bylaws provide for removing ineffective or inactive board members
25. \_\_\_ The board meets in executive session to discuss staff and personnel issues
26. \_\_\_ Bylaws, policies and procedures are periodically reviewed
27. \_\_\_ We have a political activity and advocacy policy
28. \_\_\_ We have an agency conflict of interest policy
29. \_\_\_ Board members are required to disclose potential conflicts of interest and sign a conflict of interest statement
30. \_\_\_ Compensated staff do not serve as officers
31. \_\_\_ The President or Board Chair does not concurrently hold the office of Treasurer or Secretary

32. \_\_\_ The Finance Committee, Audit Committee or full Board review the Federal 990 report and State reports before they are submitted
33. \_\_\_ All applicable open meeting and Freedom of Information requirements are met

### **COMMITTEES**

1. \_\_\_ It is clear how committees can be formed and that they meet statutory requirements
2. \_\_\_ The committee structure works
3. \_\_\_ All committees have clearly defined roles and responsibilities
4. \_\_\_ Committee reporting process is clear
5. \_\_\_ Committee minutes are kept
6. \_\_\_ We have an Audit Committee
7. \_\_\_ All Board committees that have the power to "exercise the powers of the Board with respect to the management of the affairs of the corporation when the Board is not meeting" include at least three Board members (Wisconsin statutory requirement)

### **PERSONNEL AND STAFFING**

1. \_\_\_ The hiring process of the CEO is well defined and effective
2. \_\_\_ Role and relationship between board and staff is clear
3. \_\_\_ Communication between board and staff is effective
4. \_\_\_ There is a clear, current agency organizational chart
5. \_\_\_ The board is never involved in subordinate staffing decisions
6. \_\_\_ Staff is effective and competent and works well together. Morale is high
7. \_\_\_ Background checks are conducted when hiring

8. \_\_\_ Personnel handbook and policies are current, regularly updated and have been reviewed by competent human resource professionals
9. \_\_\_ Grievance procedures and policies are current
10. \_\_\_ Staff have a process to bring critical administrative and operating issues and concerns directly to the board without fear of retaliation
11. \_\_\_ A Whistleblower system exists
12. \_\_\_ Staff have current job descriptions and performance standards
13. \_\_\_ The CEO is evaluated at least annually
14. \_\_\_ All staff are regularly evaluated by their supervisor; appropriate records of evaluation are maintained in the employee's personnel file
15. \_\_\_ Employee workload, compensation and benefits are at levels that attract a qualified staff
16. \_\_\_ Staff is responsive to board requests for information
17. \_\_\_ Volunteer policies and procedures are in place and are applied
18. \_\_\_ A CEO succession plan exists
19. \_\_\_ We have "key person" insurance
20. \_\_\_ Staff, volunteers and Board members have been appropriately screened and background checks conducted
21. \_\_\_ We have a policy regarding personal use of agency facilities and services

### **BUDGETING AND FINANCES**

1. \_\_\_ We have adequate operating funds
2. \_\_\_ An annual budget is approved by the board
3. \_\_\_ The annual budget projects a "profit"
4. \_\_\_ We have a 12-18 month cash flow projection

5. \_\_\_ All income and funds received are deposited within 48 hours of receipt
6. \_\_\_ An accounting system based on generally accepted accounting principles is in place and applied
7. \_\_\_ Financial reports including statement of financial position (balance sheet) and statement of activities compared to budget and prior year are prepared and reviewed by the Board at least quarterly
8. \_\_\_ Internal financial audit controls, checks and balances, including accounts payable procedures, based on generally accepted practices, are in place and applied
9. \_\_\_ All payroll taxes and other payables are remitted in a timely manner and are up to date
10. \_\_\_ A regular audit or financial review is conducted within 3 to 5 months of the end of our fiscal year
11. \_\_\_ Our audit is “clean” and unqualified
12. \_\_\_ Our auditor provides us with a Management Letter describing any issues that require attention
13. \_\_\_ Staff, board members and volunteers with financial responsibilities are not involved in selecting the auditor
14. \_\_\_ The Audit Committee and Finance Committee meet in executive session with the auditor
15. \_\_\_ All Board members receive a copy of the audit/review and management letter, and have an opportunity to meet with and question the auditor
16. \_\_\_ An adequate reserve fund exists
17. \_\_\_ We have an investment policy that is regularly reviewed
18. \_\_\_ The Board and staff have exercised due diligence in selecting and monitoring all financial relationships...especially investment advisers and counsel

19. \_\_\_ Everyone handling money or involved in financial transactions is bonded or is covered by a dishonesty policy
20. \_\_\_ The agency does not make loans, or guarantee loans, to board or staff
21. \_\_\_ Reasonable, cost effective travel and expense reimbursement policies are in place
22. \_\_\_ At least 65% of the annual budget is devoted to program activities
23. \_\_\_ Depreciation is funded

### **FUNDRAISING**

1. \_\_\_ Responsibility for fundraising is clearly defined and assigned
2. \_\_\_ A fundraising plan is in place
3. \_\_\_ Fundraising is diverse, not depending upon limited sources
4. \_\_\_ The board plays a role in fundraising
5. \_\_\_ All board members contribute annually
6. \_\_\_ Board members and volunteers are adequately trained in sound fundraising procedures
7. \_\_\_ The board chair takes a lead role in fundraising
8. \_\_\_ Fundraising is cost effective
9. \_\_\_ We have written Gift Acceptance, Donors Rights and Privacy Policies
10. \_\_\_ All gifts and pledges are acknowledged within 48 hours of receipt
11. \_\_\_ A formal acknowledgement meeting IRS requirements is sent to all donors
12. \_\_\_ We are in compliance with Better Business Bureau Standards of Practice
13. \_\_\_ Individuals raising funds for the agency are not compensated based on a commission or percentage of funds raised
14. \_\_\_ We are licensed, where required, in all states where we solicit funds

**MANAGEMENT AND OPERATIONS**

1.    \_\_\_    Operating policies are current and have been approved by the board
2.    \_\_\_    There are clear policies as to who may legally speak for and commit the organization
3.    \_\_\_    Working conditions and resources are adequate
4.    \_\_\_    Technology is state-of-the-art
5.    \_\_\_    Record keeping and files are current and accessible
6.    \_\_\_    Computer records and electronic files are regularly backed up and stored off site
7.    \_\_\_    Copies of critical documents are stored off site
8.    \_\_\_    We have adequate insurance coverage including general liability, property, vehicle, workers compensation, financial malfeasance and dishonesty, and directors and officers liability. Volunteers are appropriately covered. We review our coverage at least annually
9.    \_\_\_    All federal and state operating and fundraising licensing and reporting requirements, including Federal Form 990, are met and the Board reviews these reports for accuracy and completeness
10.   \_\_\_    A crisis resolution plan exists
11.   \_\_\_    A disaster recovery and catastrophe plan exists
12.   \_\_\_    A confidentiality policy exists and all staff and volunteers understand it
13.   \_\_\_    A document retention policy is in place
14.   \_\_\_    We are familiar with and follow all rules, regulations and guidelines regarding political activity
15.   \_\_\_    Key agency documents, including federal and state reports, financial reports and program effectiveness reports are available for public review
16.   \_\_\_    An annual inventory of agency equipment and facilities is performed

**PUBLIC INFORMATION**

1. \_\_\_ An agency spokesperson(s) has been identified
2. \_\_\_ An effective marketing and public information strategy is in place
3. \_\_\_ We are transparent...the public, stakeholders, clients, members and other partners are kept informed about the agency
4. \_\_\_ Required records and documents are available for public inspection
5. \_\_\_ Marketing and public information materials are current and effective
6. \_\_\_ We respond in a timely and effective manner when contacted by the public
7. \_\_\_ We are well known in the community
8. \_\_\_ Our credibility is high and we have a positive image in the community

**PLANNING, PROGRAMS AND EVALUATION**

1. \_\_\_ Mission is clear and current
2. \_\_\_ Vision and long range goals have been adopted
3. \_\_\_ A strategic plan has been approved by the board
4. \_\_\_ A strategic planning process, involving all board members and key staff, has been conducted within the last year
5. \_\_\_ Planning is based on a community needs assessment process
6. \_\_\_ Realistic, measurable goals, objectives and outcomes are in place
7. \_\_\_ The strategic plan and agency goals are regularly reviewed and modified
8. \_\_\_ Our programs and projects are effective
9. \_\_\_ A process is in place to continually evaluate the effectiveness of the agency and our programs
10. \_\_\_ We regularly meet our goals and objectives

**Name of organization you are evaluating:** \_\_\_\_\_

**My relationship to the organization:**

\_\_\_ **Board member**

\_\_\_ **Committee member**

\_\_\_ **Volunteer**

\_\_\_ **Staff**

\_\_\_ **Other** \_\_\_\_\_

**Name: (Optional)** \_\_\_\_\_

**Today's date** \_\_\_\_\_