



2002
Regional Training
Symposiums

**MENTORING ESSENTIALS:
RISK MANAGEMENT
FOR MENTORING PROGRAMS**

Dustianne North & Jerry Sherk

Los Angeles, San Diego, Monterey and Sacramento

Produced by The EMT Group, Inc. for the California Department of Alcohol and Drug Programs

2002
Regional Training
Symposiums



MENTORING ESSENTIALS: RISK MANAGEMENT FOR MENTORING PROGRAMS

Written and Presented by:
DUSTIANNE NORTH, M.S.W.
& JERRY SHERK, M.A.

Produced and Presented by:
 The EMT Group, Inc.
June 2002

2002 Regional Training Symposiums



WELCOME

Welcome to the Mentoring Essentials 2002 Regional Training Symposiums featuring Risk Management for Mentoring Programs, a project of the Evaluation, Management and Training (EMT) Group, Inc., funded through the California Department of Alcohol and Drug Programs. We are excited about this year's program and hope you find the day to be helpful and informative. The relaxed setting will provide you with the opportunity to network with program presenters and colleagues, and to explore how successful strategies can be incorporated into your own program.

ABOUT TODAY'S TRAINING

The 2002 Regional Training Symposium will present a six-hour comprehensive approach to Risk Management that utilizes curricula based on the book **More Than A Matter of Trust: Managing the Risks of Mentoring**, written by the Nonprofit Risk Management Center in Washington, D.C. The workshop will cover the six steps of risk management, and will help program managers and administrators to evaluate safety and liability issues in their program, as well as to institute an ongoing risk management plan.

Your commitment to making a difference with our youth is appreciated. Enjoy the day and thank you for joining us.

2002
Regional Training
Symposiums



TABLE OF CONTENTS

Module 1: What Is Risk Management?

Module 2: Assessing Risk

Module 3: Anticipating Risks

Module 4: Strategizing To Reduce Risk

Module 5: Preparing Participants For Risk

Module 6: Troubleshooting Problems And Preventing Crisis

Module 7: Minimizing Damage When Crisis Occurs

Module 8: Preventing Child Sexual Abuse in Mentoring Programs

Resources

PRESENTERS



DUSTIANNE NORTH, M.S.W.

Dustianne North has been working in the field of youth mentoring since 1995, when she began building a mentor and volunteer program for the foster care in residence at the Florence Crittenton Center in Los Angeles in 1995. After creating the first mentoring program in Los Angeles County serving youth in foster care to receive official approval from LA County Department of Children and Family Services, the LA Probation Department, and Community Care Licensing, Ms. North began providing training and technical assistance throughout the state for EMT. She specializes in assisting programs that serve special needs populations such as court-involved youth. Ms. North has now completed her M.S.W. at UCLA, and she continues to work toward her Ph.D. in Social Welfare (also at UCLA). She draws upon her experiences with mentoring, her clinical training as a social worker, and her administrative expertise in designing curricula and facilitating trainings. This diverse scope of knowledge allows her to work with direct practice issues such as communicating with youth, as well as macro-level issues, such as designing mentor programs for foster youth.

JERRY SHERK, M.A.

Jerry Sherk, MA, is President and founder of Mentor Management Systems of Encinitas, a company that provides technical assistance and training to both corporate and youth-based mentoring programs. One of the leading consultants for EMT, Jerry has given workshops for hundreds of program managers and mentors, while providing direct technical assistance to nearly 100 mentoring programs. In this capacity he has helped approximately 50 mentoring agencies to develop their operational systems, as well as their participant training manuals.

Jerry has also authored or co-authored a number of workbooks on youth mentoring including: Creating and Sustaining a Winning Match, Best Practices for Mentoring Programs, Preparing Mentees for the Match, The Mentors' Guide to Workplace Mentoring, and Risk Management for Mentoring Programs. Jerry was recently hired by the California Social Worker Education Center (CaISWEC) at Cal Berkeley, to develop a program model for Social Workers to mentor newly hired Child Welfare Workers.

In addition, Jerry is the past Executive Director and current Director of Special Projects for the Mentoring Coalition of San Diego County, as well as Past President of the NFL Retired Players Association, San Diego. From 1970-1981, Jerry was an All Pro defensive lineman for the Cleveland Browns, and he was recently nominated for the NFL Pro Football Hall of Fame. Jerry lives in Encinitas, with his wife, two teenage children, and their Dachshund, Charlie.

SPECIAL THANKS & ACKNOWLEDGEMENTS



For their contributions to the success of our Regional Symposiums, The EMT Group extends its gratitude to the following people and organizations:

- The California Department of Alcohol and Drug Programs for encouraging and supporting the mentoring effort throughout California.
- The presenters of the Regional Symposiums: Dustianne North and Jerry Sherk
- Shelly Boehm of EMT for database management and registration assistance for the Regional Symposiums.
- Art Farmer for the graphic design of the symposium materials.
- Jacquie Kramm for production management of the symposium materials.
- TC Printing for their print production of the symposium materials.
- Our guests who provide the inspiration for these events. We hope that your expectations were exceeded and the day provided some useful information. Thank you for your dedication to the mentoring movement and your participation today.

For their superb service and gracious hospitality, The EMT Group would like to thank the staff members of the following businesses and organizations:

- Radisson Huntley Hotel Santa Monica
- The Catamaran Resort Hotel in San Diego
- The Doubletree Hotel in Monterey
- The Sierra Health Foundation in Sacramento

TODAY'S AGENDA



RISK MANAGEMENT

- 8:30 to 9:00 REGISTRATION AND CONTINENTAL BREAKFAST
- 9:00 to 9:30 WELCOME AND INTRODUCTION
- 9:30 to 9:45 MODULE 1: WHAT IS RISK MANAGEMENT?
- 9:45 to 10:30 MODULE 2: ASSESSING RISK
- 10:30 to 10:45 BREAK
- 10:45 to 11:05 MODULE 3: ANTICIPATING RISKS
- 11:05 to 12:00 MODULE 4: STRATEGIZING TO REDUCE RISK
- 12:00 to 1:00 LUNCH ON YOUR OWN
- 1:00 to 1:45 MODULE 5: PREPARING PARTICIPANTS FOR RISK
- 1:45 to 2:15 MODULE 6: TROUBLESHOOTING PROBLEMS AND PREVENTING CRISIS
- 2:15 to 2:30 BREAK
- 2:30 to 3:00 MODULE 8: MINIMIZING DAMAGE WHEN CRISIS OCCURS
- 3:00 to 3:20 MODULE 9: PREVENTING CHILD SEXUAL ABUSE IN MENTORING PROGRAMS
- 3:20 to 3:30 QUESTIONS, CLOSURE AND EVALUATION

2002
Regional Training
Symposiums

MODULE 1

WHAT IS
RISK MANAGEMENT?

NOTES

Introduction to Risk Management

In 1997, the President's Summit on Volunteerism convened in Philadelphia with the charge of developing strategies to support America's troubled youth. Chaired by Colin Powell, the Summit came up with a five-point-plan, and the first element was "to provide each young person with a stable and caring adult." Since the Summit, the United States has experienced a fantastic expansion of youth mentoring programs.

Those working in the field know that youth mentoring programs typically have to overcome many obstacles to first get up and running, and to keep their doors open. Those struggles usually begin with worries about funding, and the next challenge is to find knowledgeable staff to develop and run the program. Individuals and organizations that made it past those original hurdles can take pride in their successes. Not only have they survived, but through networking and the sharing of knowledge and resources, youth mentoring is getting stronger.

A major factor in building our industry has been that over the past several years, individuals and programs have contributed greatly to the vast knowledge base of mentoring. Slowly the evolution and awareness of best practices has evolved, and some people are even beginning to refer to mentoring as a "discipline" in the much the same manner that social work and counseling are disciplines. Indeed, we now understand that there is a body of knowledge that must be mastered in order to design, implement, and sustain a youth mentoring program.

Up to this point, with all the many formidable tasks facing mentoring program staff, and too few hours to get things done, "risk management" is one of the areas that seems to have been the most overlooked. Yes, most of us know that it's a must to properly screen, train and monitor mentors, but what are many of the other concerns — everything from major elements to minor details — that come under the heading "risk management?" The danger of not addressing programs from a risk management perspective is that even one overlooked component— a badly worded release form, lack of clarity on a boundary issue, or a failure to obtain needed insurance—can be the catalyst that will cause you to fail to reach your mentoring program's mission.

NOTES

Now that we are beginning to understand what it takes to design and implement quality programs, it's time to raise our awareness once again. Focusing on and developing a plan for risk management is the next logical step. Implementing risk management strategies will serve to make things safer for our mentees, and at the same time it will help to reduce the liability for both our volunteers and the organization so that we can keep providing much needed services for our children.

What is Risk Management?

Every activity-especially those involving youth-carries some level of risk. Mentoring can be an extremely high-risk endeavor because 1) it often asks volunteers to spend unsupervised time alone with youth; 2) the focus of mentoring is typically developing a close relationship, and 3) mentoring often involves youth who are experiencing very difficult life circumstances, and who are therefore vulnerable.

To operate a mentoring program is to take risks, it's the nature of the business. Even if you serve a low-risk population, you meet at a school site, and the match is supervised at all times, it is impossible to operate a mentor program that is completely free of risk. Anytime an organization takes the responsibility of putting groups of people together for the purpose of developing relationships, risk are inherent.

What are risks? Risks include those that 1) may pose physical danger to participants, 2) emotional risks associated with fostering intimate relationships between adults and children, and 3) and other issues that create liability for the mentor program.

Since it is impossible to eradicate risk when operating a mentor program, the concept of risk management refers to a process of ASSESSING, ANTICIPATING, STRATEGIZING, and PREPARING for risks associated with your program, as well as TROUBLESHOOTING problems and finally MINIMIZING damage when crisis does occur. Youth, parents, volunteers, staff, and board members may all be vulnerable to risks in the context of the mentoring program, so issues for all of these participants will be addressed.

NOTES

·
·
· **Primary Learning Objectives:**

· **The Six Steps of Risk Management**

· The primary learning objective of this training is to assist you in knowing the six steps of risk management:

- 1. ASSESS the overall risk level of your program based on population served, the mission of your program, and your program structure.
- 2. ANTICIPATE risks based on these same factors.
- 3. STRATEGIZE to reduce risks at every phase of the program.
- 4. PREPARE board members, program staff, volunteers, youth, and parents for issues that may arise and risks to be aware of.
- 5. TROUBLESHOOT problems while they are still manageable so that you can avoid all possible crises and liabilities.
- 6. MINIMIZE damage and limit liability when a risk becomes a crisis or liability.

·
· **Other Learning Objectives**

· In addition to understanding the six steps of risk management, participants in this training will:

- • Learn about laws that effect mentoring programs, as well as insurance policies that affect volunteers and youth organizations and their liability.
- • Learn to better protect your program and its youth from the incidence of child sexual abuse.
- • Learn some of the common risks facing youth today.
- • Learn to develop a strong network of referral agencies to assist youth, parents, and mentors when crises and difficult issues arise.

NOTES

This training is intended to be accompanied by the book, *More Than a Matter of Trust: Managing the Risks of Mentoring*, published by the nonprofit Risk Management Center. Some of the materials provided here were inspired or taken literally from the text book. In addition, please note that the book has a great deal of detailed information not covered during this training session. We feel that you will raise your awareness about risk management if you participate in the discussions and excersises during the training, and then review the accompaning book at a later time.

Other information in this training was drawn from *Screening Volunteers to Prevent Child Sexual Abuse: A Community Guide for Youth Organization* by the National Collaboration for Youth.

Lastly (but perhaps of foremost importance), we want this workshop on risk management to be an interactive one, and for that purpose we ask you to take some risks today. Risk by speaking up, by asserting yourself, by asking your questions, and by telling your stories. Perhaps your question or comment will inspire discussion on a subject that will alter the life of one or more children in a positive and dramatic way!

MODULE I

WHAT IS RISK MANAGEMENT?

NOTES

NOTES

2002
Regional Training
Symposiums



MODULE 2

ASSESSING RISK

NOTES

Program Risk Self Assessment

Identifying Key Risk Factors

PROCESS:

Complete the following Agency Self-Assessment. It will help you identify the risk factors of your program and use that information to develop a mentor profile.

Work individually or with other members from your own agency.

Please circle the answer that is most appropriate to your mentor program.

1. Mentoring takes place:
 - A. In a school, youth center, church, or other facility with staff supervision ONLY
 - B. BOTH at a facility with staff supervision and out in the community unsupervised (this includes programs that have supervised formal sessions, but allow their mentors to have outside contact with their mentees)
 - C. Out in the community ONLY, with mentors and mentees working independently and without staff supervision
 - D. Not yet determined
2. Mentees are transported:
 - A. Never - transportation is not an element of the program.
 - B. By staff only
 - C. By staff and volunteers, or just volunteers
 - D. Not yet determined

NOTES

- 3. Visits or outings are approved by:
 - A. Parents or relatives with custody AND staff
 - B. Parents or relatives with custody ONLY
 - C. Foster family, social worker, or other professional guardian when children are wards of the court
 - D. Not yet determined

- 4. Rate the overall stability of your organization and program based on secure funding and resources, experience and continuity of staff, retention of mentors, and community support:
 - A. Strong, stable and supported
 - B. Some staff turnover present OR lack of long-term funding BUT NOT BOTH
 - C. Some staff turnover present AND lack of long-term funding
 - D. Program has not yet secured staff and/or funding

- 5. Please refer to attached "Classifications of Mentoring Relationship Types" handout, and circle the choice that best matches the "softest" type of mentoring relationships characteristic of your program.
 - A. Soft - Medium
 - B. Hard
 - C. Hard Core
 - D. Not yet determined

- 6. Please refer to attached "Classifications of Mentoring Relationship Types" handout, and circle the choice that best matches the "hardest" type of mentoring relationships characteristic of your program.
 - A. Soft - Medium
 - B. Hard
 - C. Hard Core
 - D. Not yet determined

NOTES

- 7. You consider your program to be primarily:
 - A. A prevention strategy to support children before they fall prey to drugs, gangs, violence, teen pregnancy, and other dangers ONLY
 - B. BOTH a prevention strategy AND a method of intervention that helps youth who have already run into problems with school, criminal and/or violent behavior, drug or alcohol abuse, etc.
 - C. An intervention strategy ONLY
 - D. Not yet determined
- 8. Rate the level of training provided to mentors:
 - A. Orientation and training are extensive and thorough
 - B. Orientation and training are adequate to get mentors started
 - C. Orientation only - no real training provided
 - D. Not yet determined
- 9. Rate the level of support provided to mentors:
 - A. Extensive support from staff, other mentors, AND possibly parents or guardians
 - B. Strong support from staff OR other mentors, but not both
 - C. Support comes only from parents or guardians
 - D. Not yet determined
- 10. The neighborhood(s)/community(ies) served by your agency is(are):
 - A. Mixed levels of income; many stable community members who could serve as mentors; some families struggling; reasonable quality of education provided by local public schools; strong presence of youth programs and service; rising levels of crime; some presence of drug and alcohol abuse, and some gang presence
 - B. Dominated by lower-income families; some stable community members; many families struggling; educational programs could be improved; more youth programs and services are needed; crime is an ingrained reality, although is kept somewhat at bay by long-standing community efforts; significant presence of drug and alcohol abuse and trafficking, and significant gang presence

- C. Dominated by low-income families; fewer stable community members; sub-standard educational programs; many more youth programs and services are needed; crime is prevalent and deeply ingrained; prevailing drug and alcohol abuse and trafficking; powerful gang presence
- D. Not yet determined

NOTES



NOTES

SCORING

To total your score, give your program:

- 1 point for every answer "A" or "D" you selected
- 2 points for every "B" you selected
- 3 points for every "C"

A + D: _____

B: _____

C: _____

TOTAL: _____

The above score is your total score IF:

- a) you answered "D" to 0 or one question;
- b) you answered "D" to three questions AND scored 16-21 or 25-30 points;
- c) you answered "D" to two questions AND scored 16-23 or 27-30 points.

IF you answered "D" to four or more questions, your program is not yet defined sufficiently to assess your risk levels.

IF you answered "D" to three questions, AND your score is 22-24, ADD two points to the total.

Added: _____

IF you answered "D" to two questions, AND your score is 24-26, ADD one point to the total.

OR

Added: _____

GRAND TOTAL: _____

There are 30 points possible. The number of points indicates ROUGHLY the level of risk your program faces. This is ONLY to give a general idea, and to match you with other programs in the room that are facing similar risk levels that you are - it is not meant to formally classify any program.

- 16-19: Soft; low risk
- 20-23: Medium
- 24-26: Hard; high risk
- 27-30: Hard core; extreme risk

THE MENTORING CENTER

CLASSIFICATION OF MENTORING RELATIONSHIP TYPES

TERMINOLOGY/ RISK LEVEL	TYPES OF MENTORING EFFORTS/ACTIVITIES	TYPES OF KINDS, I.E. YOUTH PROFILES	MENTORING CLASSIFICATIONS	NEEDED MENTOR CHARACTERISTICS	MENTOR PROGRAM CONSIDERATIONS
Assistance Mentoring					
<p>1. Low/Moderate Mentoring (Formerly Soft Mentoring) Risk Level "Low"</p>	<ul style="list-style-type: none"> • Companionship • Academic Tutoring • Career and Professional Guidance • College/Higher Education Guidance 	<p>Basically well behaved and well guided kid who could benefit from additional companionship and/or assistance. Very impressionable. Eager for assistance.</p>	<p>Assistance mentoring is designed and utilized to assist (helping hand) youth who have no intrusive attitudinal and behavioral issues that would inhibit and/or serve as an obstacle to receiving basic assistance in academics, career/job counseling, leadership/conflict resolution skills, social recreation activities, minor self-esteem issues, etc. Assistance mentoring is for youth who have not been deeply affected by societal, community and/or family risk factors.</p>	<p>A caring and committed person who recognizes the value of additional companionship and guidance to a young person. In this regard, little patience is needed, but requires a time commitment. Also, thought must be given to appropriate attitudes, activities and techniques used.</p>	<ul style="list-style-type: none"> • MENTORING PROGRAM COORDINATOR POSITION: • strong program development & management skills, • strong people skills are pertinent when operating a multi-cultural program, • knowledgeable regarding principles of youth development. • PROGRAM CAPACITY: • must have adequate resources i.e. funding, staff, technology and equipment, before starting mentoring activities. • Matching Considerations: • same cultural, gender considerations should be considered, however in this context and classification not necessary in reaching effective outcomes for youth • mentors must have the skills to assist in relevant (goals/objectives) areas, • mentors must be culturally and gender aware and respectful.

TERMINOLOGY/ RISK LEVEL	TYPES OF MENTORING EFFORTS/ACTIVITIES	TYPES OF KINDS, I.E. YOUTH PROFILES	MENTORING CLASSIFICATIONS	NEEDED MENTOR CHARACTERISTICS	MENTOR PROGRAM CONSIDERATIONS
Assistance Mentoring					
<p>2. Moderate Mentoring</p> <p>(Formerly Medium Mentoring)</p> <p>Risk Level "Moderate"</p>	<ul style="list-style-type: none"> • Companionship • Academic Tutoring • Career and Professional Guidance • College/Higher Education Guidance • Self-Esteem Building • Prospective Broadening 	<p>Basically good kid. May or may not have consistent and/or adequate adult companionship or guidance. An average or below academic student who has given little or no thought to career and/or collegiate path. Very impressionable, open to assistance.</p>	<p>Same As Above</p>	<p>A caring and committed adult. Willing to work with youth on normal adolescent and life issues. Requires patience and willingness to get involved in the youth's life. Willingness to come to where the youth functions physically and mentally. Culturally sensitive and abreast of current youth issues. Much thought must be given to appropriate attitudes, activities and techniques used.</p>	<p>Same As Above</p> <p>MATCHING CONSIDERATIONS:</p> <ul style="list-style-type: none"> • matching considerations such as culture and gender may become relevant in this classification and should be considered

Transformative Mentoring

3. INTENSIVE MENTORING
(FORMERLY HARD MENTORING)

Risk Level "High"

- Companionship
- Academic Tutoring
- Career and Professional Guidance
- College/Higher Education Guidance
- Self-Esteem Building
- Prospective Broadening
- Conflict Resolution
- Manhood/Womanhood Responsibility
- Parenting Skills
- Respect for Private Property

Potentially good kid. Has no positive male or female guidance. Basically treats school as a social gathering. Not much positive encouragement and examples regarding academics at home. Has given little or no thought to career and/or collegiate path. Maybe, occasional run-ins with the law or school authorities. Still impressionable but heavily influenced by negative surroundings and/or peer group.

Transformative mentoring is designed (non punitively) to deliberately address and/or affect change of negative/anti-social self-esteem, attitude and behavior in youth who have been profoundly affected by societal risk factors. The transformative mentoring process is a necessary prerequisite in order for most youth in this category to benefit from an assistance mentoring process. Transformative mentoring is for youth who, because of their current attitudes/behavior would not be receptive to assistance mentoring. Transformative mentoring is an expression of profound empathy, sensitivity, compassion and love.

An extremely caring and committed adult. Willing to go beyond casual involvement in a youths' life. Requires patience and a willingness to play several roles in youths' life i.e., teacher, guide, support, resource, challenger, etc. A necessary willingness to come to where the youth functions physically and mentally. Culturally sophisticated and abreast of current youth issues. Much thought must be given to appropriate attitudes, activities and techniques used.

MENTORING PROGRAM COORDINATOR POSITION:

- strong program development. & management skills,
- excellent people skills, particularly when operating a multi-cultural program,
- exceptional knowledge regarding principles of youth development, particularly regarding cross-cultural competence and respect for other people's way of life.

PROGRAM CAPACITY:

- must have sufficient resources i.e. funding, staff, technology and equipment, before starting mentoring activities,
- must have strong collaborative relationships with community resources,
- must have strong and relevant follow-up (support) services in place (the transition from transformative mentoring to assistance mentoring).

MATCHING CONSIDERATIONS:

- same cultural, gender should be a strong consideration
- mentors must have the skills to assist in relevant (goals/objectives) areas,
- mentors must be culturally/gender competent and very respectful of other people's life issues, challenges and way of life.

Transformative Mentoring

<p>4. VERY INTENSIVE MENTORING</p> <p>(FORMERLY HARD CORE MENTORING)</p> <p>Risk Level "Very High"</p>	<ul style="list-style-type: none"> • Companionship • Academic Tutoring • Career Guidance • College/Higher Education Guidance • Self-Esteem Building • Prospective Broadening • Conflict Resolution • Man/Womanhood Responsibility • Parenting Skills • Respect for Private Property • Respect for Self • Respect for Life • Cultural Awareness & Respect • Respect for Authority/Law 	<p>Still reachable kid but "hard core". Basically little to no positive adult influence and/or guidance. Attracted to the seemingly "easy way out." Very much influenced by peer group. Has spent considerable time institutionalized.</p>	<p>Same As Above</p>	<p>Extremely caring and committed adult who basically becomes a surrogate family member. Always in touch and on-call. Requires much patience and love. Required willingness to come to where the youth functions physically and mentally. Culturally competent and abreast of current youth issues. Willingness to remain an advocate for the youth even as they continue to make mistakes. Much thought must be given to appropriate attitudes, activities and techniques used.</p>	<p>Same As Above</p>
---	--	--	----------------------	--	----------------------

Note: The above are broad classifications. The characteristics of each classification type can be interchangeable from youth-to-youth and/or from mentor-to-mentor, meaning there can be variations of characteristics. (Revised 08/00)

NOTES

Legal Liability, Shields and Insurance

Legal Liability

"Mentoring programs are vulnerable when it comes to liability. Lawsuits and claims can come from paid staff, volunteers, participants, funders, donors and from the general public." (1)

"The first step in managing legal risks is to understand the nature of legal liability. All organizations and individuals have legal interests such as physical safety, freedom of movement, protection of property, right of privacy, security of reputation, performance of promises, and economic freedom." ... "Nonprofits and other organizations invade the interest of others if they break a law, breach a contract, or cause harm to another party either intentionally or unintentionally." (1)

Note: All numbers are references to page numbers in *More Than a Matter of Trust: Managing the Risks of Mentoring.*

What parties are most likely to initiate lawsuits against your organization?

TORT LIABILITY

“A tort is a private or civil wrong or injury other than a breach of contract for which the law provides damages. Tort law governs most of the legal liability for injuries occurring in the operations of nonprofit organizations.” (2)

Torts are classified into three categories:

- 1. Negligence
- 2. Intentional Acts
- 3. Strict Liability

We will cover the three categories of torts below.

1. Negligence

Negligence is “the failure to do something a reasonable person would do or the doing of something that a reasonable person would not do under the circumstances.” “An injured plaintiff must prove four essential elements to recover from a defendant:

- a legal duty to act;
- a breach of the duty;
- damages or harm; and
- causation. “ (11)

A) Legal duty to act is an enforceable obligation to exercise care or to maintain a certain standard of conduct for protecting others against unreasonable risks. For instance, mentoring programs must protect participants, volunteers, staff and the general public from foreseeable harm.

B) Breach of duty involves the failure to act or the failure to act properly.

C) Harm or damages can include, but is not limited to: death, bodily injury, medical injuries, medical expenses, property damage, loss of income, physical or emotional pain, suffering, mental anguish, and injury to reputation.

D) Causation or ‘proximate cause’ means that the breach of duty must be the direct or proximate cause of the injury or damage. (adapted from P-12)

The “reasonableness standard” is as follows:

“Most courts use the concept of ‘reasonableness under the circumstances’ to define the minimum standard of care... For mentoring programs the required standard of care will be based on a number of factors, including the type of activity, the age of the mentee, impairments such as physical or developmental disabilities of the mentee, conditions when an accident occurred, and resources available to the nonprofit to protect participants from harm, such as the availability of screening tools.” (12)

“Most courts and jurisdictions hold that the standard of care is higher for nonprofits working with children and other vulnerable populations than for organizations working with adults.” (13)

Question: Do the children that you work with have additional vulnerabilities that would make your program adhere to higher standards? If so, please list:

Reasonableness Standard

“The standard of care requires ‘that the degree of skill be exercised which the general class of persons engaged in that profession would have.’ ” (13)

“If a party could or should have foreseen the harm, then it should take reasonable steps to prevent the harm.” (13)

What are some examples of this in mentoring programs — what harm is “foreseeable” in mentoring programs, and what steps should be taken for prevention?

“Another facet of reasonableness is the question of control focusing on whether a nonprofit had the ability to take action to avoid and injury. Nonprofit organizations and their personnel cannot control everything, and the courts do not require them to do so.” (13)

NOTES

What can your organization control? Screening and selection of participants, development of operating policies, training of participants, monitoring and support of participants, procedures for handling crisis? Briefly, what are some other things that your organization can reasonably control?

2. Intentional Acts

The second tort, intentional acts, "...result from actions that organizations or individuals take knowing that those actions may invade another party's protected interests. The act does not necessarily need to be committed with malice or intent to cause harm." (13)

Examples of Intentional Acts

3. Strict Liability

"The third tort, strict liability is imposed for harm resulting from certain activities and situations, even though an organization may be free of direct fault. Nonprofits, particularly mentoring programs, usually do not engage in many activities that may lead to strict liability, such as keeping wild animals, inherently dangerous activities, or selling or producing inherently dangerous products. However, strict liability can also be imposed for the actions of others. Commonly called vicarious liability, it is applied to organizations for the actions of their employees, partners, subsidiaries and other agents acting on their behalf, even if the organization itself acted completely without direct fault. Vicarious liability extends only to activities within the scope of the relationship and not to unrelated misconduct." (14)

Examples of othe Statutory and Common Law Libialities

Statutory and Common Law Liability

Beyond torts, federal, state and local laws and regulations must be followed by every nonprofit and mentoring program. Failure to comply can result in both civil and criminal liability. Some examples of statutory requirements are:

- Child abuse reporting
- Criminal background check for employees and volunteers

NOTES

- Licensing for drivers
- Child labor laws
- Curfews
- Licensing of program personnel
- Insurance requirements
- Health department regulations
- IRS and California Nonprofit guidelines (14)

Others:

NOTES

CONTRACTUAL LIABILITY

“A contract is a promise that the law will enforce. In order for a contract to be legally binding, there must be mutual assent and consideration in return for a promise to do or not do something. In other words, both parties must agree to the contract and something of value must be given or foregone. ” (15)

“Mentoring programs enter into many contracts, some intentionally and some by accident. ...A program can inadvertently make promises, such as guaranteeing employment opportunities for the participants, through its promotional material or recruiting efforts.” (15)

Common Liability Exposures

“It is impossible to list all of the liability exposures facing mentoring programs. Every day the courts create new laws and interpretations of the standard of care. ...As a program coordinator, you need to review [the exposures] that apply to your program, and brainstorm what else can go wrong in your program.” (15)

One way to evaluate risks is to consider the safety of participants, and how to protect them from reasonable and foreseeable risks.

Protecting the property of others, such as borrowed equipment, rented facilities.

Besides guaranteeing employment, what other promises could be made verbally or through recruiting presentations or materials?

Potential hazards on your premises:

NOTES

Using Liability Shields

“Liability shields are contracts or agreements between a nonprofit and a participant or, if the participant is a minor, the participant’s parents or legal guardian. Liability shields are a form of ‘risk transfer’...” (17)

A number of elements of liability shields include:

- **Competency.** Persons signing an agreement must be competent under the law.
- **Sufficient Information.** Agreements must provide signers with enough information to understand the nature and scope of activity and give informed consent. Many courts will only enforce an agreement for the risks that the form specifically identifies.
- **Exchange of Value.** Most liability shields are contracts and as such must include consideration or an exchange of value. Participants must receive something of value, such as the opportunity to participate, in exchange for their signature.
- **Willful misconduct.** A liability shield cannot shift responsibility for criminal activity, willful misconduct, or gross negligence from the organization to the participant.
- **Public Policy.** The risk transfer to the participant cannot be “against public policy” as determined by a court of law. Some courts viewed the transfer of negligence as being against “public policy” because it is “not best for the greater good.”

*Circle one:
Minors are /
minors are not compe-
tent under the law to
sign an agreement.*

Examples of risks that
may not be specifically
or properly identified
within mentoring
programs:

Examples of Willful
Misconduct:

NOTES

COMMON LIABILITY SHIELDS

Commonly used liability shields include:

- 1. waivers
- 2. informed consent forms
- 3. permission slips
- 4. disclaimers

All of these may be useful to programs when used properly.

1. Waivers

“A waiver is the intentional act of relinquishing a known right, claim, or privilege such as the right to sue an organization for its alleged misconduct. Therefore, a waiver removes the potential liability from the party that could be held responsible for harm.” (18)

“Liability waivers are valid only if a person enters into the agreement knowingly and voluntarily and if the person waiving certain rights receives something in exchange. Few attempted waivers satisfy these standards. Courts often find that arrangements are not voluntary when they are between an individual and an organization because of unequal bargaining power. Courts often invalidate waivers on the grounds that a participant did not fully appreciate the rights being waived or that a waiver did not specifically indicate that it included the organization’s liability for negligence.” (18)

“Minors do not have the legal capacity to sign waivers.” (18)

“Despite their legal vulnerability, if properly drafted and executed, waivers may help block liability. Moreover, an individual who has signed a waiver may be less likely to initiate a lawsuit than someone who has not.” (19)

“Organizations should consider using a participant waiver in any event where the nonprofit can identify the persons participating in the event prior to the event... [but]... waivers will not absolve your nonprofit from liability or injuries directly caused by your negligence.” (19)

“...consult legal counsel when drafting such agreements.” (19)

Waivers might be of use in my program in the following situations:

NOTES

Skiing example. What current or planned activities in your program would require identifying and fully explaining the risks?

Do you need to develop or to review and revise consent forms? If so which ones?

2. Informed Consent:

“An informed consent form does not attempt to excuse an organization from responsibility for its own negligence. Instead, the form seeks to relieve a nonprofit from the inherent risks of an activity itself. An informed consent only relieves an organization for the risks that the organization reveals to the participant; there is no protection for risk not clearly identified in the consent form.” (19)

3 Permission Slips

“Well drafted permission slips indicate the parent’s or guardian’s knowledge and consent for their child to participate in the activity. When parents are informed by nonprofits about the nature and extent of an activity, they may feel more involved in the decision-making process.” (20)

“Permission slips, like informed consents, must explain clearly and fully the nature of an activity. A trip to the zoo could include a visit to the animal petting section, and this may be important information to a parent of a child with allergies.” (20)

4. Disclaimers

“A ‘disclaimer’ is an express disavowal, repudiation, or limitation of liability by one part to a transaction. Disclaimers differ from waivers in that they are unilateral...” (See further discussion on page 20)

“Liability shields can be effective risk management tools in a mentoring program. They offer a legal and psychological deterrent for a program participant to pursue legal actions.” (21)

Insurance

During the risk assessment process, you have determined that various risks exist for your program, and you want to get them covered. There *is no "standard" policy for a nonprofit or for a mentoring program.* Below are the categories of insurance available for nonprofits that are engaged in mentoring.

Insurance options for mentoring programs may include:

1. Commercial General Liability (CGL)
2. Professional Liability
3. Directors' and Officers' Liability (D&O)
4. Automobile Insurance
5. Workers' Compensation
6. Property Coverage
7. Fidelity Bonds (pp-50-53)

1. Commercial General Liability (CGL)

This policy protects the organization, its directors and officers, and employees against claims alleging bodily injury or property damage caused by the nonprofits operations and activities, including products." (See full description on page 50)

A CGL will pay the cost to defend against allegations and for damages because of the negligence of the insured. Some insurance companies are willing to extend the policy's coverage for volunteers, sponsors, funding sources, and landlords.

Although CGL policies are broad they do not cover all liability exposures. The "exclusions" section of CGL policies lists exposures that are not covered. For mentoring programs, the most significant exclusions are for acts of abuse or molestation [as they see it as an intentional act].

Endorsements usually protect the organization for claims of negligent hiring, retention or supervision.

"If the alleged perpetrator is covered by an endorsement or separate policy, the insurance company will defend the person until the case is adjudicated." (pp. 50-51)

"Another significant exclusion is for liability arising from the serving or furnishing of liquor ." (51)

NOTES

2. Professional Liability

"This policy provides coverage for claims coming from the delivery or failure to deliver professional services. Mentoring programs may use school or private counselors or therapists, social workers, or medical support services. Professional liability policies should be obtained for anyone providing medical, legal, or counseling services." (51)

3. Directors' and Officers' Liability (D&O Insurance)

"D&O insurance protects governance or management from 'wrongful acts' which are generally described as actual acts, errors, or omissions "...by the organization, its directors and officers, and for some policies, employees and volunteers."

"Typically included in this coverage are wrongful termination, discrimination, and harassment."

"No standard D&O policy exists, so each nonprofit must review its policy's coverages and exclusions." (51)

4. Automobile Insurance

Nonprofits may be held liable for employees and volunteers using their own vehicles for organizational business. "If your program allows automobiles owned by your employees or volunteers to be used in your operations, consider purchasing a non-owned/hired auto liability coverage." (52)

5. Workers Compensation

Each organization should comply with California Workers' Compensation laws, which require businesses to insure their workers against injuries and occupational hazards and diseases. In addition, nonprofits should look into extending their coverage by exploring Employers Liability coverage. "Each organization should review its needs to determine the appropriate limits." (52)

6. Property Coverage

This is protection against damage to buildings, equipment and other property. (pp. 52-53)

NOTES

7. Fidelity Bonds

Also sometimes known as an employee dishonesty bond, this coverage can insure an organization against employee theft of money, securities and/or inventory. (53)

A FINAL NOTE...

“Because of the complexity of insurance... work with an insurance advisor such as an agent, broker, or consultant to help identify and solve your insurance needs. The advisor should be knowledgeable of the nonprofit sector and its unique insurance needs. Also, make sure the advisor understands your mentoring operation and the extent of your risk management program.” (53)

NOTES

2002
Regional Training
Symposiums



MODULE 3

ANTICIPATING RISKS

NOTES

“Mentoring Unlimited”

PROGRAM SCENARIO

Mentoring Unlimited is a one-to-one mentor program that matches youth on probation with responsible adults in the community. They typically recruit mentors who have specific career expertise of interest to mentees, as well as adults who were delinquent as children but have established a stable, legitimate life for themselves. The program currently serves 35 matches, and they employ a full-time director and a part-time coordinator. They also contract with a social worker for screening, training, and troubleshooting when problems arise in matches. Their director and coordinator have each turned over once since the program began, and the coordinator just started two months ago.

The program has just received a new grant that will fund them for the next two years. They have no additional funding sources.

Some of the matches in this program have been together since the program's inception, and others are brand new. The program was not very organized when it first began, and so some of the older mentors tend to resist monitoring, training, and any new program requirements.

Mentors in this program are allowed to visit mentees and take them on outings. They are supposed to work with the parents of their mentees to schedule these outings, and they keep a log of visits and time spent with their mentees that is turned in quarterly to program staff. There are also group activities offered twice a year for all program participants. Mentors are also given the telephone number of the probation officer assigned to their mentees' case in order to coordinate service when possible-some P.O.'s are more responsive than others.

The program coordinator is supposed to have a telephone check-in with each mentor every month and she also fields requests and complaints from mentees and parents. There is only one part-time coordinator for all 35 matches. The program hopes to expand the number of matches served.

SMALL GROUP ACTIVITY

Program Risks and Strengths Brainstorm

In your small groups, please identify:

- 1) Potential risk factors of this program.
- 2) Potential strengths of the program that can be used to address these risks.

Please base your ideas on the population of mentors and mentees served, the responsibilities given to mentors in the program, and the program structure surrounding matches. Be prepared to report back the top 3 risks and strengths of this program.

GROUP 1: Please focus on risks related to activities mentors and mentees might engage in.

GROUP 2: Please focus on risks associated with the mentor-mentee relationship.

GROUP 3: Please focus on risks related to the program setting in which matches occur.

POTENTIAL RISKS

Group 1: ACTIVITIES

Group 2: RELATIONSHIPS

Group 3: SETTINGS

POTENTIAL STRENGTHS

Group 1: ACTIVITIES

Group 2: RELATIONSHIPS

Group 3: SETTINGS

TOP THREE RISKS

Group 1: ACTIVITIES

Group 2: RELATIONSHIPS

Group 3: SETTINGS

1.

2.

3.

TOP THREE STRENGTHS

Group 1: ACTIVITIES

Group 2: RELATIONSHIPS

Group 3: SETTINGS

1.

2.

3.

NOTES

2002
Regional Training
Symposiums



MODULE 4

STRATEGIZING TO
REDUCE RISK

NOTES

Creating Referral Networks

Here are some strategies for building a strong and responsive network of referral sources and partnering agencies to help address the multiple and complex needs of your mentees and their families.

- Actively seek out and research agencies in your area that serve the same population as you do
- Join community coalitions and other organizations designed to promote collaboration among agencies
- Visit the agencies you are considering forming relationships with, and collect their literature
- Create partnerships with other agencies that allow you to coordinate services
- Establish an open line of communication with other agencies-share with them about the needs of your participants as well as the philosophy of your agency, and ask about theirs
- Offer resources you have in exchange for what they have that you need
- Invite potential partners to fundraising and other events programs
- When finally deciding to partner and/or refer, create written agreements (Memorandums Of Understandings or MOU's) to ensure that each agency understands what is expected of them

STRATEGIZE TO REDUCE RISKS

Group 1: ACTIVITIES

Group 2: RELATIONSHIPS

Group 3: SETTINGS

1. POLICY POINTS

2. CONSULTS

3. AGENCY
NETWORKS

NOTES

NOTES

NOTES

NOTES

Using the Quality Assurance Standards (QAS) Matrix

The Quality Assurance Standards (QAS) are the accepted best practices of the youth mentoring industry. The primary purpose of the QAS is to promote mentee safety. The secondary goal is to provide and support mentoring relationships where the mentee can experience personal growth.

In this curriculum we have utilized the QAS to create the "QAS Risk Matrix" found within this module. This matrix is essentially a form of a risk management assessment.

The QAS Risk Matrix utilizes each of the ten Quality Assurance Standards. Some programs may want to add the QAS Risk Matrix to their Operations Manual. (Instructions on creating an Operations Manual can be found in the addendum of this workbook.)

It is beneficial to evaluate your agency's risk factors by using the QAS Risk Matrix because it helps you to assess all areas of your mentoring program. In addition, it's also useful because it can aid program managers to become even more familiar with the QAS.

The QAS Risk Matrix helps to identify the subtleties of risk. One way of thinking about those subtleties is that anything that creates undue stress on the program or on its staff also creates risk. For instance "a lack of funding" although not usually thought of as a risk factor per se, leaves a program without proper staffing, which can leave you shorthanded in every facet of program administration (including "high-risk" areas of screening, training and monitoring).

Conversely, anything that takes stress off of the program can serve to reduce risk. For example, if you are successful in the "retention of mentors" then you don't have to spend as much time recruiting, screening, and training volunteers. By saving time here you can focus on other important parts of the program, like meeting with program participants in order to monitor them face-to-face (which helps to insure the safety of the program).

Again, the best way to use this matrix is to include it in your operations manual (instructions found in the addendum). Feel free to Xerox other pertinent parts of this manual and to insert them under the appropriate sections in your operations manual. For instance, you might want to put

NOTES

“insurance and legal” issues under “Long Range Plan,” “Child Sexual Abuse Prevention” materials can be Xeroxed and placed under “Screening.”

Some subjects could go in two or more sections of the operations manual. For example, anything to do with policies and procedures, such as the “mentor participation agreement,” could be placed in any one of a number of QAS sections (e.g., RECRUITING, ORIENTATION, or TRAINING.)

You may begin developing an operations manual by using the instructions that we have provided in the addendum... and then be creative!

QUALITY ASSURANCE STANDARDS (QAS) RISK MATRIX

1. Statement of Purpose and Long Range Plan
2. A Recruitment Plan for Mentors and Mentees
3. Orientation for Mentors and Mentees
4. Mentor and Mentee Screening
5. Readiness Training for Mentors and Mentees
6. Matching Strategies
7. Monitoring Process
8. Support, Recognition and Retention
9. Closure
10. Evaluation

Quality Assurance Standard (QAS) - Risk Matrix

I. Statement of Purpose and Long Range Plan

Risks & Relevant Issues	Risk Management Strategies
CLEAR MISSION, GOALS & OBJECTIVES	
<p>Because the safety of all program participants, the liability of the program and agency, and the liability of volunteers are at stake when designing a mentor program, the mentoring program's mission, goals and objectives will have an impact in the kind of risk your program faces and the ways in which those risks are addressed.</p> <p>A program increases its liability and risk initially by deciding to serve a high-risk mentee population, and to allow matches to engage in dangerous activities. In addition, a program increases the strain on the program and therefore the organization's risk by having goals and objectives that aim at serving a great number of mentees, without having the appropriate infrastructure.</p>	<p><input type="checkbox"/> Programs should take the time and care to do proper program planning before the program actually begins.</p> <p>If your staff is inexperienced, or if you lack appropriate resources to operate a program with thorough risk management strategies in place, consider lessening risk factors in your program by developing a mission, goals and objectives that include:</p> <ol style="list-style-type: none"> 1. Mentoring a "lower-risk" population 2. Targeting a smaller number of matches 3. Allowing only safe mentor / mentee activities (e.g., no offsite activities) <p>If your agency is truly dedicated to serving high-risk populations, and/or if you are committed to creating a program with high impact, develop a mission, goals, and objectives that responsibly assumes the risks inherent in such a program. This means:</p> <ol style="list-style-type: none"> 1. Acquiring adequate resources for skilled staff and a quality program 2. Creating strong screening, orientation and training, and monitoring and supervision structures that will properly support mentors and mentees 3. Recruiting and cultivating a volunteer base that is aware of the risks involved and willing to undergo additional training, supervision, etc.
INITIAL PROGRAM DESIGN	
<p>Designing the program in a vacuum can be dangerous.</p> <p>Programs need to frequently stress the need for safety.</p>	<p><input type="checkbox"/> Obtain input from originators, staff, funders, potential volunteers, and participants may ask for feedback on safety and risk areas that may have otherwise been overlooked. This will also help make the program stronger, by rallying the support and endorsement from additional individuals and organizations.</p> <p><input type="checkbox"/> Prioritize risk by stating in your program's mission and or/ goals and objectives (plus all your program materials) that the safety of all involved is of primary concern.</p>

Quality Assurance Standard (QAS) - Risk Matrix

I. Statement of Purpose and Long Range Plan - continued

Risks & Relevant Issues	Risk Management Strategies
A CLEAR OPERATIONAL PLAN	
<p>One of the greatest potential causes of crisis is the absence of a clear operational plan. This leaves staff unsure of how to respond to issues that arise, volunteers uncertain of where to turn for help in difficult situations, and mentees and parents with no clear avenue for addressing issues and giving feedback.</p> <p>If no plan has been developed or communicated, the likelihood for crisis increases greatly.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Operational plans can be developed in a number of ways, including the creation of an Operations Manual. Instructions for developing an operations manual are included in this workbook. <input type="checkbox"/> Be sure you have ASSESSED your program's overall risk level (using assessment tool provided) and ANTICIPATED specific risks of your program before you begin.
OPERATIONAL PROCEDURES THAT HAVE A "CRISIS PLAN"	
<p>When a program's operational procedures are lacking in a "crisis plan" for every contingency, staff and volunteers are left on their own to solve complex problems that carry a great deal of risk.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> With your advisory board, staff and/or administration brainstorm a plan that will help to ensure that everyone (staff, volunteers, youth, and parents) have a course of action when emergencies and critical issues arise. Clear and specific policies and procedures should be developed for every conceivable contingency and included in the participant training manuals and materials, as well as information sent to the parents. Participants should be thoroughly trained in these policies, and policies should be periodically evaluated and revised.
ADEQUATE AND SECURE / FUNDING PERSONNEL	
<p>A lack of resources is also a danger factor in mentor programs, as funding is needed for: extracting and retaining qualified trained staff, recruiting appropriate volunteers; for screening, training, monitoring, evaluation; and implementing all the other steps involved in the Quality Assurance Standards. Most programs that don't follow the Quality Assurance Standards are not safe programs.</p> <p>In addition, a lack of funding in a one-to-one program means that when the program goes away, the match also disappears. This can leave a mentee (once again) feeling abandoned and betrayed.</p>	<p>Target and raise adequate funding, and use funds to reduce risks in the following ways:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Hire professional staff, who can then design and implement a program by considering each and every one of the Quality Assurance Standards. Running a program by these standards promotes mentee safety, and therefore reduces risk within your program. <input type="checkbox"/> Periodically hire outside experts to help with participant trainings and/ or to assist in policy development. <input type="checkbox"/> Develop, print and distribute participant training manuals (and update manuals periodically). <input type="checkbox"/> Purchase liability insurance that is needed to cover board members, staff and volunteers. <input type="checkbox"/> Purchase safety supplies, such as first aid kits. <input type="checkbox"/> Secure funding for the next mentoring cycle early on — never cease seeking sustainable support for your program.
INSURANCE	
<p>Insurance should be obtained for a variety of risk-areas.</p>	<p>Insurance is discussed in detail in Module 2: Assessing Risk</p>

Quality Assurance Standard (QAS) - Risk Matrix

2. A Recruitment Plan for Mentors and Mentees

Risks & Relevant Issues	Risk Management Strategies
DEVELOP A RECRUITING PLAN	
<p>MENTOR</p> <p>A lack of a well-conceived recruiting plan with a variety of strategies, (as well as limited staff support) can force a program to consider almost any potential volunteer that comes available. This can result in putting mentees in danger and greatly increasing financial liability for the organization.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Take care to create a comprehensive recruiting plan, and allocate adequate resources for implementation. Brainstorm with staff, administrators, outside experts and/or advisory board to identify the resources and strategies that will bring in the highest number of qualified mentors.
TARGET THE CORRECT POPULATION	
<p>Targeting the wrong population can be an invitation for undesirable mentors, including child predators. Also, without giving thought to recruitment audiences targeted, you may be recruiting mentors who are not equipped to work effectively with your mentee population.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> It will be more worth your staff's time and effort to focus on recruiting from stronger pools of volunteers, even if those efforts are more labor-intensive. For instance, if the program determines that a higher quality of mentor comes from service clubs (vs. newspaper ads, for instance), and then more energy should be focused on this resource.
PROFESSIONAL RECRUITING PITCHES AND MATERIALS	
<p>Disorganized recruiting materials and presentations could potentially attract mentors who are looking for programs that are not closely monitored, so that they can take advantage of children. Also, presenting a disorganized image of your program tends to foster disorganized or inconsistent volunteers.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Make sure that your recruiting pitches and recruiting materials are of professional quality. Let it be known that you are a program that requires high standards, and that participants are screened, monitored and supported every step of the way.
ACCURATE PORTRAYAL OF PROGRAM	
<p>An inaccurate recruiting pitch can lead to volunteers later becoming disgruntled and angry, and even dropping out of the program.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Strive for accuracy when describing mentor commitment, responsibilities, the "degree of difficulty" of the mentoring task, as well as what activities the match can or can't do together. Also, a brief overview of program philosophy, and requirements for training, and monitoring procedures should be described during recruiting so mentors know what to expect; this may weed out some volunteers who are not open to supervision or who have something to hide. Being up front might get you fewer potential volunteers to begin with, but it will save staff time later, as more candidates will stick with the program.

Quality Assurance Standard (QAS) - Risk Matrix

2. A Recruitment Plan for Mentors and Mentees - continued

Risks & Relevant Issues	Risk Management Strategies
PRESENT A WARM ORGANIZATIONAL IMAGE	
<p>Presenting a cold organizational image can result in mentors not feeling like they will be able to gain support from program staff. Impersonal recruiting methods can potentially dissuade high quality volunteers.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Always balance professionalism with a sense of community. The recruitment phase is the start of a bond that program staff establishes with new mentors. This bond should be a model for the mentor/mentee relationship. Some programs even go so far as to invite prospective mentors to hosted events with many existing participants present allowing new mentors to be socialized into a strong, healthy network. This sends a clear message that matches exist within a larger community of support, which helps to attract mentors with good motives, the ones who want the best match possible. It also helps them to understand that they can contact staff or network with other mentors should problems arise during the match. Plus, when staff develops a strong and healthy relationship with their volunteers, they will be less likely to sue the program should a problem arise.
RECRUITMENT PLAN	
<p>MENTEE Lack of a mentee recruiting plan can cause you to not fulfill your mission and goals.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Strategize with staff and referral resources for the best way to recruit mentees.
MOTIVATE MENTEES TO JOIN PROGRAM	
<p>Some mentees may be unsure about joining your program, and may need assistance in determining that your program is right for them. Some may be shy and need a little coaxing; others may have unrealistic expectations of what a mentor is.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Offering incentives and finding ways to demonstrate what the program is really like helps mentees to feel comfortable and welcome. Serving refreshments at presentations or having mentees from previous programs tell about their experiences make your program seem like a fun and safe place to be.
ACCURATE PORTRAYAL OF REQUIREMENTS AND ACTIVITIES	
<p>Lack of accurate portrayal of mentee commitments and requirements, to include program and match activities, can leave mentees disgruntled, and it can even cause mentees to exit the program at a later time. This can elevate stress on the program staff as they scramble to meet their numbers.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Mentees should be given full and accurate information on program requirements, mentor screening procedures, match supervision requirements, as well as a clear description of program and match activities.
CLEAR DESCRIPTION OF REFERRAL CRITERION TO REFERRAL SOURCES.	
<p>Lack of a clear description of mentee referral criterion to referral sources can create problems. Referral criterion that don't mirror the program's mission, goals and objectives can potentially receive a higher risk population that the program isn't equipped to handle, creating higher risk and liability for all involved.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Clearly describe the referral criterion to referral sources. Make sure that the description is in line with your mission, goals and objectives. Distribute written materials to referral sources, and also give them feedback when they begin to refer mentees into program. Feedback should include "did the mentee that was referred fit your program's criterion?"

Risks & Relevant Issues	Risk Management Strategies
VOLUNTARY VS. MANDATORY PROGRAMS	
<p>IF AT ALL POSSIBLE, DON'T MANDATE MENTEE PARTICIPATION. Voluntary participation by mentees is best. Mandating mentoring can cause problems. It is crucial to remember that the prospect of a relationship with a mentor can bring up lots of issues and emotions for youth, especially if they have suffered trauma or have been abused. Coercing a child into a one-to-one relationship with an adult could violate the mentee's emotional boundaries before the match even begins. This would create not only the potential for an unsafe match, but also could cause a longer-term effect on the mentee's future relationship experiences.</p>	<ul style="list-style-type: none"> ❑ Mandatory participation can also put a strain on program staff, as it will take more time and effort to problem solve, to terminate matches, and to reassign program participants (as well as to recruit more participants). Time spent here will be taken away from other duties. There are cases in which it isn't possible to insist upon voluntary participation — for instance, some court-involved youth are mandated to mentoring programs. If this happens, brainstorm strategies to try to make mentees feel like that they have more control. For instance, one program tells their mentees, "If you don't like the program after six weeks, talk to staff about getting out at that time." This is a good strategy, as mentees who don't want to be there will find a way to bail out anyway, and the vast majority will stay.
PARENT INVOLVEMENT	
<p>Parent involvement, where possible, helps to make things go more smoothly, and it helps to make the matches safer.</p>	<ul style="list-style-type: none"> ❑ Efforts should be made to involve parents in the program from the start, as it reduces the risk when parents are included. Parents who feel part of the program will communicate better with program staff and with their child's mentor. In addition, should an incident occur, parents who feel included are much less likely to file a claim against the organization.

Quality Assurance Standard (QAS) - Risk Matrix

3. Orientation for Mentors and Mentees

Risks & Relevant Issues	Risk Management Strategies
MENTOR ORIENTATION	
<p>Treat orientation as a "contract period." Like the "recruitment" phase, lack of clear and accurate information here about mentor commitment, and other program requirements can cause ill feelings among volunteers, causing them to eventually drop out of the program. Accurate information gives mentors a realistic picture of what is expected of them.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Give mentors a full and accurate picture of the program, including commitments and other requirements. Treat orientation as a sort of "contract period" where you describe all of the program's commitments, requirements and activities in detail, and the degree of difficulty of the mentoring task, so that mentors will fully understand the program's expectations. After this full description you can say, "Now that you know what's expected of you, are you interested in moving forward with the next steps?" (For example, the next steps may include screening and training.) Programs that operate this way will have fewer mentor candidates unexpectedly quit, and the mentors that remain will be more likely to follow through with program rules and requirements.
MENTEE ORIENTATION	
<p>Give mentees complete and appropriate information. Giving mentees full information empowers them. Again, not giving them full information could cause them to get angry and to drop out later.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> The way that mentees are treated when they learn about the program serves to either empower or disenfranchise them later in the match. <input type="checkbox"/> The strategies for mentees are much the same as mentors, as listed above. Give the mentees full information and treat it as a "contract period." <input type="checkbox"/> Let the mentees know that they can contact staff at any time for any reason so that they won't feel they are on their own to deal with a situation if it does occur. Also, use orientation to promote a sense of teamwork among mentees.

Risks & Relevant Issues	Risk Management Strategies
NEED FOR STANDARD SCREENING PROCEDURES	
<p>MENTOR</p> <p>Lack of compliance with standard screening procedures can potentially create the highest risk factors for your program. A program that does not adequately screen their mentors is an unsafe program. Child predators and others with inappropriate intentions are much more likely to look for programs that have insufficient screening procedures.</p>	<p><input type="checkbox"/> Startup programs should look to industry experts and staff from successful mentoring programs for mentor screening procedures. Typical procedures include:</p> <ul style="list-style-type: none"> • Department of Justice (DOJ) fingerprint and criminal background checks • Additional FBI checks for individuals who have not been in the area for over two years (or individuals who program may have additional questions about) • At least three reference checks (two from employers, if possible) • Face to face interview with at least two staff persons • Xerox of driver's license • DMV printout, proof of insurance (if mentee is able to transport mentee) • Child Abuse Index (for licensed daycare facilities only)
SCREEN FOR MORE THAN CHILD MOLESTERS AND PREDATORS	
<p>A good mentor is more than merely an individual who is not a child molester or predator.</p>	<p><input type="checkbox"/> There are many people who have the purest intent, but who are struggling with their own needs and issues in such a way that they would not be the best mentor for a child in your program. Know that you can "screen-out" candidates for any reason.</p>
SCREENING SHOULD NEVER STOP	
<p>Never stop screening mentors, as you may see or hear something later on that would disqualify someone from being a mentor.</p>	<p><input type="checkbox"/> For the safety and well being of mentees, screening should continue through every phase of the program, to include mentor training. (It's never too late to turn down the services of someone who you find is unfit for the task.)</p>
CONSTANTLY REEVALUATE YOUR SCREENING PROCESS	
<p>Becoming stagnant with your screening procedures could be hazardous, as new best practices are constantly evolving and your program could miss out on the latest techniques for promoting safety.</p>	<p><input type="checkbox"/> Staff should periodically evaluate screening procedures and make improvements in the process based on past failures and successes, and they should also seek out new best practices. A good source of current information about screening is from individuals with clinical training/experience.</p>

Risks & Relevant Issues	Risk Management Strategies
HAVE PROCEDURES IN PLACE	
<p>MENTEE</p> <p>Having no screening procedures (or referral criteria) for youth will create a program without a clear focus. Lack of screening procedures can also let mentees who are not a good fit with your program to accidentally slip into the program, therefore elevating risk factors.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Program staff should strive to “screen-in” the appropriate mentee population. That is, mentees who fit in with the mission, goals and objectives of the program.
BUILD YOUR REFERRAL NETWORK	
<p>Some programs need to do outreach to develop their referral network.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> It is often useful to solicit referrals from other agencies with which you build collaborative relationships. Keep them in the loop regarding recent developments and needs of your program, so that they will send you appropriate mentees.

Quality Assurance Standard (QAS) - Risk Matrix

5. Readiness Training for Mentors and Mentees

Risks & Relevant Issues	Risk Management Strategies
Include a Mentor Training	
<p>MENTOR</p> <p>Lack of proper training for your board, staff, and program participants leads to uninformed participants and unsafe programs. Allowing matches to begin when staff or mentors are untrained is an extremely unsafe practice. Take note during training if people are reactive or inappropriate, and screen them out of the program if necessary.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> New programs should look to industry experts and staff from successful programs to assist them in the development of a mentor training (and for a mentor training manual). <input type="checkbox"/> Please remember that you should continue to screen your mentors even during mentor training.
MENTOR TRAINING MANUALS WITH COMPREHENSIVE SUBJECT MATTER	
<p>It's a hazardous practice to not have a central document that explains all aspects of the program — a "mentor manual" or "handbook." This document should become the central guide to your program.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> A mentor manual should include a full spectrum of relevant subjects. Mentors can follow the manual during the initial training and it can also be used as a reference during the mentoring cycle. Length of training for the initial or basic training for most programs is anywhere from three to twelve hours. Programs with high-risk populations obviously need more comprehensive trainings.
INCLUDE A CRISIS PLAN IN MENTOR TRAINING MANUAL	
<p>Lack of a crisis plan or map can elevate danger and liability. Those programs that don't address these issues and present them in written documents during trainings are putting themselves at high risk.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> A crisis plan should be included in the mentor training manual. The plan should address what to do and who to contact in case of any problem or emergency.
INCLUDE CONFIDENTIALITY AND CHILD ABUSE REPORTING ISSUES IN MENTOR TRAINING MANUAL	
<p>Handling information about the private lives of mentees and their families is tricky business and rife with risk factors. Violating the confidentiality of the mentee means liability for the program and the mentor, as well as emotional or life damage for the mentee and/or their family. At the same time, knowing how to respond when there is an abuse allegation is equally important. Mentor programs are mandated to report child abuse; failure to do so properly can jeopardize the match, the child, the mentor, and the program.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> New programs should look to industry experts and staff from successful programs to assist them in the development of policies and procedures on confidentiality and child abuse issues. Staff should strive to learn more about this critical area whenever they can, as it is so important.
INCLUDE "BOUNDARY ISSUES" IN MANUALS AND TRAININGS	
<p>Solid education on boundary issues promotes safety. The personal safety of program participants, liability of the agency, and the mentee's emotional development are all at stake in a mentoring situation, so it is important that proper boundaries be discussed and explored at length with program staff and mentors.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Solicit input from experts and other successful programs as to what boundary issues should be included, and how they should be addressed. Many boundary issues have to do with safety. Gifting is one example. If a mentor is allowed to give the mentee expensive gifts, it could potentially be a strategy for sexual advances. Even when mentors' intentions are pure, improper boundaries in a match can lead to unhealthy dynamics between mentors and mentees. Touching is another example of a boundary issue, along with giving favors, maintaining personal space, etc.

Quality Assurance Standard (QAS) - Risk Matrix

5. Readiness Training for Mentors and Mentees - continued

Risks & Relevant Issues	Risk Management Strategies
CHILD SEXUAL ABUSE ISSUES	
<p>Even briefly addressing this issue in mentor training can potentially keep a child predator from striking, as they are alerted that you will be watching for them.</p>	<p><input type="checkbox"/> Let mentors know that staff monitors the matches, frequently talks to mentees, and that any child sexual abuse will be punished to the full extent of the law.</p>
ONGOING TRAINING AS NEEDED	
<p>Ongoing training helps to support mentors by solving problems and by creating a mentor network. Mentors often need support especially early on in the match.</p>	<p><input type="checkbox"/> It's a good practice to conduct ongoing trainings on a regular basis. This provides a wonderful avenue for advanced training on topics relevant to mentoring the population served by your program. Providing ongoing training reduces risk not only by increasing the skill level of mentors, but also by providing a forum that is likely to bring issues in matches to the surface before they become crises.</p>
MENTORS SIGN A "MENTOR PARTICIPATION AGREEMENT"	
<p>Mentor participation agreements promote accountability.</p>	<p><input type="checkbox"/> Within your manual, after you have explained the policies and procedures of your program, it's a good practice to include the "Mentor Participation Agreement." This is usually a page of bullet points that clearly state the program's requirements. They often start out something like this: As a Mentor in the ABC Mentoring Program, I agree to...</p> <ol style="list-style-type: none"> 1. Commit to try to develop a relationship of trust and respect with my mentee for a period of "x" months. 2. Uphold the rules of confidentiality and child abuse reporting, as stated in this manual. 3. Etc. <p>The mentor then signs and dates a Xeroxed copy of the agreement after the training, and turns it in to the program manager. Also include Mentee Agreement in mentor materials.</p>
COMPREHENSIVE TRAINING AGENDA	
<p>MENTEE</p> <p>A comprehensive mentee training (or orientation) is necessary for a safe and successful program.</p>	<p><input type="checkbox"/> Some programs have relatively short mentee trainings that they term "orientations." Whether orientations or trainings, make sure that mentees fully understand what the program is about, to include their commitment, program rules, etc. Mentee trainings should also focus on how mentees can get the most out of the match. Conduct a special training on abuse prevention and inform mentees to contact the program manager at any time they are uncomfortable.</p>

Quality Assurance Standard (QAS) - Risk Matrix

5. Readiness Training for Mentors and Mentees - continued

Risks & Relevant Issues	Risk Management Strategies
CHILD SEXUAL ABUSE TRAINING	
<p>Provide trainings on child sexual abuse.</p> <p>Mentees can also be agents of risk reduction, but only if they are properly trained to recognize inappropriate or unsafe situations, as well as what to do if a problem arises. Otherwise, mentees are more likely to be passive in a negative situation, or to simply drop out of the program — these scenarios would be damaging to a mentee in both the short and long term.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Child sexual abuse trainings are especially important for mentees under 12, or for those who have any emotional, physical, or mental disabilities.
INCLUDE TRAINING ON BOUNDARY ISSUES	
<p>Boundary issues are also safety issues.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Make sure that boundary issues are covered and that they are in agreement with the boundary issues for mentors as covered in the mentor training manual.
INCLUDE TRAINING ON CONFIDENTIALITY AND CHILD ABUSE ISSUES	
<p>Confidentiality and child abuse reporting must be understood by mentees to promote safety and so that they understand these important program rules.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Let mentees know what will and what won't most likely be reported by staff or by their mentor. Educating them on these procedures promotes safety and helps them to develop trusting relationships with mentors and with staff.
MENTEE PARTICIPATION AGREEMENTS	
<p>Agreements promote mentee accountability, and they help to ensure that mentees understand the ramifications of the relationship they are entering, assist them in feeling safe in the match, and ensure that mentors know what is expected of them.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Although not legally binding, agreements help mentees to adhere to program rules. Make sure parents get a copy and they sign off on the rules before the mentee signs. Also include "mentor agreements" in mentee's and parent's packets, too, so they will know the commitments and rules that the mentors will be following.

Quality Assurance Standard (QAS) - Risk Matrix

6. Matching Strategies

Risks & Relevant Issues	Risk Management Strategies
DEVELOP COMPREHENSIVE MATCHING PLAN	
<p>Without a matching plan, programs just “throw people together” without assessing benefits and risks to a particular match.</p>	<p><input type="checkbox"/> Develop mentor and mentee interest forms. Match on the basis of hobbies, recreational interests, career interests, potential chemistry, geographical location, etc.</p>
SAME GENDER IS GENERALLY A SAFER PRACTICE	
<p>Opposite gender typically heightens the risk of an agency or mentor being held liable for child abuse.</p>	<p><input type="checkbox"/> Most programs should develop policies that match same gender mentor and mentees.</p>
CONSIDER FUNCTIONING LEVEL OF PARTICIPANTS	
<p>Some mentors may be matched with mentees who they are unable to connect with or handle.</p>	<p><input type="checkbox"/> Evaluate the functioning, the developmental level and the attitudes of the mentee in order to establish a “degree of difficulty” (relative to the task of mentoring them). Also assess the mentor’s comfort and expertise levels in mentoring a difficult mentee, their life experiences and their maturity and flexibility. Match difficult mentees with mature and confident mentors. Consider matching less difficult mentees with less seasoned mentors.</p>
INVOLVE ALL PROGRAM PARTICIPANTS IN MATCHING PROCESS	
<p>Not involving all participants in the matching process increases doubts, fears and misunderstandings. It also increases the chance of a mismatch — poor matches carry more risk than good ones.</p>	<p><input type="checkbox"/> It’s a fairly standard practice to develop a matching policy whereby a tentative match is made, and then staff describes characteristics of the counterparts to each other (as well as to the mentee’s parents). When everyone feels comfortable with the makeup of the match then it moves forward. Parent inclusion is particularly relevant in preventing child sexual abuse.</p>
GIVE PARTICIPANTS A GRIEVANCE PROCESS FOR A BAD MATCH	
<p>Lack of a grievance process could cause mentors and mentees to remain in matches where they are not getting along, or where the mentees feel unsafe.</p>	<p><input type="checkbox"/> Develop a policy for grievances and match termination for both mentors and mentees. Educate mentors and mentees on these policies as well as give written descriptions to all program participants (in participant training manuals and information forwarded to parents.) Periodically review and update these policies.</p>

Quality Assurance Standard (QAS) - Risk Matrix

7. Monitoring Process

Risks & Relevant Issues	Risk Management Strategies
A PROCESS FOR MONITORING	
<p>Monitoring helps to ensure the success of the program and the safety of the mentees.</p>	<p><input type="checkbox"/> The match needs to be monitored, as checking in frequently with mentors and mentees promotes safety. Plus, research shows that matches that are monitored meet more often.</p>
CONSISTENT, SCHEDULED MEETINGS WITH STAFF, MENTORS, AND PARTICIPANTS	
<p>Lack of such meetings leaves program staff in the dark. Matches that are monitored could be unsafe. Also, when matches are not properly monitored, it is likely that small problems and conflicts will escalate. When problems escalate, there is more chance of a crisis occurring.</p>	<p><input type="checkbox"/> Make staff and program participants understand that it is their responsibility to attend meetings. Require staff and participants to make up missed meetings.</p>
WRITTEN RECORDS AND FILING SYSTEM	
<p>Programs that don't have record and filing systems are negligent. How would a new program manager even know who the matches are or how to contact them, if appropriate records weren't being kept?</p>	<p><input type="checkbox"/> Written records and a sound filing system are necessary to chronicle contact information, progress of the match, relationship dynamics, successes, problems and future plans.</p>
INPUT FROM COMMUNITY PARTNERS, FAMILY, AND SIGNIFICANT OTHERS	
<p>Input and feedback from partners can help to monitor the match. It is also important that mentors and mentees feel their relationship exists in the context of a larger community that includes members of the mentee's family or home situation, program staff and other mentors, and other professionals in the lives of mentees. If a match exists too far removed from this network, the risk of unhealthy dynamics, conflict, and even abuse increases.</p>	<p><input type="checkbox"/> Include as many partners as possible in feedback. Many eyes and ears help to make sure that the match is progressing safely. Counselors, caseworkers, teachers, parents and others can help in this respect.</p>

Quality Assurance Standard (QAS) - Risk Matrix

8. Support, Recognition and Retention

Risks & Relevant Issues	Risk Management Strategies
NEED FOR SUPPORT	
<p>Lack of support for program participants can leave them without a way to work through problems, or to report dangerous situations. Mentors and mentees need to have a way to solve any problems that come up during the relationship.</p>	<ul style="list-style-type: none">❑ Develop ongoing support groups for mentors and mentees so that they can discuss successes and problems of the match. Let participants know that they can contact program staff anytime they are facing difficulties. Support can come through ongoing trainings, mentor round tables, phone calls, email, or face-to-face meetings. Speakers on specific subjects are also particularly helpful for ongoing trainings.
NEED FOR RECOGNITION AND RETENTION PLAN	
<p>Not having a plan for recognition and retention can leave the program without an ample pool of qualified mentors (and therefore put stress on staff and the program's operations).</p>	<ul style="list-style-type: none">❑ Develop a recognition and retention plan that honors all participants and helps them to feel good about being in the program. Retention of mentors means that they will either continue to mentor the same mentee, or mentor another youth during the next mentoring cycle. Retaining the same mentors equates to getting someone who is screened and trained, plus you know that they stick to program rules. Keeping a number of repeat mentors also frees your time to focus on other important areas of the program. Recognition of mentees also spread the word that your program is a good one.

Risks & Relevant Issues	Risk Management Strategies
DEVELOPMENT OF CLOSURE STRATEGIES	
<p>Not having clear and comprehensive closure strategies can create a sense of false expectations, as well as feelings of abandonment and betrayal in the mentees. This can be detrimental to mentees' personal growth. Angry mentees might accuse their mentors of things that they actually didn't do.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> With staff, discuss the issues surrounding closure and develop appropriate strategies. All mentees must know how long the mentor has committed to the relationship. Mentors should be careful not to tell mentees that they will stay in the relationship longer than the original time commitment until they are absolutely sure. Mentors should also be directed to check in with program staff before they announce that they are extending their commitment. Program should have a process whereby they check in with the mentee and with the mentee's parents before a determination to continue is made.
REMIND MENTEES OF END DATE FOR RELATIONSHIP	
<p>Not being clear about the end of the match can also create a tremendous liability for the program, as participants can claim that they thought they were still part of the program (even years later). A few mentees might also feel betrayed and say that their mentors did something to them (when it didn't actually happen).</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Mentees should also be periodically reminded about the end of program date. This can be done at the start of the program and at celebrations. Graduations also help to promote positive closure.
HELP PARTICIPANTS TO SET UP POST-SUPERVISION GUIDELINES	
<p>It is helpful if staff assists program participants in setting up guidelines for the relationship for when the program will no longer be involved.</p>	<ul style="list-style-type: none"> <input type="checkbox"/> If mentors and mentees want to stay together beyond the time when program staff can oversee the match, the program should facilitate discussions regarding this issue. Programs should also send all participants' letters (with return receipt) indicating that participants are no longer under the supervision of the program. Even though participants will be no longer under the auspices of the program, programs can help participants to be more realistic about how many times and how long they will meet, and more committed to actually meeting.

Quality Assurance Standard (QAS) - Risk Matrix

10. Evaluation

Risks & Relevant Issues	Risk Management Strategies
PROPER EVALUATION FOR FUNDING SOURCES	
<p>An inadequate evaluation process can lead to the program losing necessary funding.</p>	<p><input type="checkbox"/> Develop an evaluation plan even before the program begins the first mentoring cycle. Some evaluations include pre and post tests, and to be valid the pre-test must be given before the start of the program.</p>
USE SATISFACTION SURVEYS AND FACE-TO-FACE INTERVIEWS TO IMPROVE TRAININGS, AND PROGRAM POLICIES AND PROCEDURES	
<p>Some programs may not be properly preparing participants to deal with specific safety issues. Evaluations can help find out training needs.</p>	<p><input type="checkbox"/> Develop and give periodic satisfaction surveys and conduct interviews with all participants, to include mentees, mentors, and parents. Ask them about the quality of training and if program is addressing their needs. Pay special attention to safety issues. Ask participants if the training on confidentiality and child abuse reporting, touching, boundaries, etc. was clear and helpful.</p>
POST PROGRAM SURVEYS	
<p>Some programs keep track of mentees for months or even years after their exit.</p>	<p><input type="checkbox"/> Consider developing post program surveys that ask mentees about their experience in the program, to include training on risk issues, and their interaction with their counterpart. Sometimes a lapse of time will help mentees to be more objective and even more open.</p>

2002
Regional Training
Symposiums



MODULE 5

PREPARING
PARTICIPANTS
FOR RISK

NOTES

Developing Interactive Training Exercises

SMALL GROUP WORK

Divide into four groups. Create a 10-minute interactive training exercise for one of the following audiences regarding risk management:

- Group 1: Board members
- Group 2: Program staff
- Group 3: Mentors
- Group 4: Mentees and parents

You may create an exercise that elicits reflection on a general approach to risk management, or choose one particular risk area and create a training specific to that topic.

Your Training Plan

TARGET GROUP: _____

Preparing Participants for Risk

Board members

Program staff

Mentors

Mentees and parents

NOTES

2002
Regional Training
Symposiums

MODULE 6

TROUBLESHOOTING PROBLEMS & PREVENTING CRISIS

NOTES

Ongoing Training

Types of Ongoing Training

Ongoing training of mentors and staff may consist of:

- Presentations on specific topics related to mentoring and the population served (can be presented by staff or guest experts)
- Case consultation (or mentor roundtable) in which issues and successes of individual matches can be discussed. This is a good setting to promote team building to help mentors if they are having problems with their matches (facilitation by someone with human relations expertise is recommended.)
- Role playing and practicing skills

Benefits of Ongoing Training

Benefits of ongoing training in managing risk:

- Provides staff with opportunities for monitoring matches as trainees discuss issues and their matches in a learning setting, may help reveal red flag issues
- Continual improvement of skill level of staff and volunteers
- Strengthens and deepens the relationships among staff and volunteers, enabling them to form a more effective network of support for youth and each other

Monitoring and Supervision

NOTES

Types of Monitoring & Supervision

Some common types of match supervision include:

- Direct supervision of matches via observation of group activities, monitored visits, and onsite visits
- Individual supervision meetings involving mentor, program manager, sometimes clinical staff, parents of mentee, mentee, etc.
- Staff check-in's with mentees & parents
- Staff involvement when situations arise that are beyond a mentor's scope and training

Question to Consider in Monitoring & Supervision

- What can be accomplished with each type of supervision?
- What cannot be accomplished with each of the above?
- What type of expertise is needed in monitoring matches?
- What type of relationship will staff need to establish with mentors and mentees in order to effectively monitor matches?
- What should a program manager do when issues that arise in supervision are beyond their training?

NOTES

Support

Types of Support

Some ways for programs to support matches are:

- Provide mentors with an action plan for crises that may arise, including steps to take and where to turn for help
- Be available by telephone often to consult when issues and obstacles arise in the match; please be sure to return phone calls promptly
- Assist when matches struggle with scheduling, coordinating with parents, or other obstacles to the relationship
- Assist mentors, and possibly intervene when issues arise in dealing with mentees' families
- Offer mentor support meetings
- Offer group activities for mentors and mentees to participate in
- Create a supportive network of collaboration with other agencies that provides support to matches and their varying needs
- Program staff should have people to ask for help when issues are beyond their training such as counselors, therapists, social workers, etc.
- Build networks by refusing to be "territorial." Foster the attitude of cooperation and inclusion of other agencies.

Networks

NOTES

Managing Referral Networks

Here are some ways to keep relationships with referral sources strong-which will help to ensure that your mentors and mentees receive support and services they need:

- Ask agencies to keep you informed of any changes in the services they offer
- Visit agencies periodically
- Create alliances of agencies serving the same populations, and attend meetings of these groups
- Create partnerships with other agencies that allow you to coordinate services
- Keep an open line of communication with referral sources and partnering agencies
- Offer the resources you have in exchange for what they have that you need
- Invite partnering agencies to fundraising and other events
- Invite representatives from agencies to give training to your mentors regarding the services they provide, and conversely offer to train their personnel about your program
- Always look for potential new referral sources and agencies with whom to collaborate

2002
Regional Training
Symposiums



Troubleshooting
Scenarios

Runaway Roundtable

You are a relatively new Program Manager to a one-to-one mentoring program. Just beginning to get an understanding of mentoring in general, and of the operations of the program that you just inherited, one of your first tasks is to run a mentor roundtable. Eight mentors show up at the roundtable, which is to be a discussion of the success and problems of recent matches over the last three-month period. Four of the mentors are brand new and have not even yet been matched, and therefore, they don't have any experience with mentees. After welcoming the mentors, you ask them to share about their recent experience with mentees. The first person to share is a current long time schoolteacher. You have talked to him previously and you understand that, because he is well connected and influential in the community, and because of his desire to help the program, he has assisted in recruiting a great percentage of the current mentor pool. As he begins speaking, you are shocked, as he starts talking. "The only thing these kids understand is to be tough on them. They come from single parent families, and if you don't let them know who is boss right away, they will run over you! You have to bear down, give them no quarter, tell them what to do! It wouldn't hurt to get a little physical with them, not hit them, but you know, grab them by the arm if they get out of hand." As this person is speaking, you see that he is sweating, turning red, and getting very angry. You feel trapped in this moment, and you don't know what to do.

QUESTIONS:

1. Should you do anything in the moment?
2. How do you deal with this mentor's anger?
3. How do you deal with this person telling other mentors (some brand new) to be tough, even to grab the mentees at times?
4. What risk factors are you dealing with?
5. What actions should you take?

The Lonely Mentor

You are the Program Manager, and you are conducting the first face-to-face supervision session with a relatively new mentor named “Bob.” Bob was referred to you from a pastor from a local church. He is 38, single, and he passed the entire screening process without a glitch, including the interview and reference checks. In fact, everything came back glowing, including his personal references.

He seemed so great that you matched him with an 11-year-old boy who has a number of elevated at risk factors. Tommy is one of five children being raised by financially and otherwise overwhelmed single mother. Mom is once again being courted by another one in a long line of men who are wrestling with their own demons and dysfunctions. Tommy is somewhat depressed, and he also has a pronounced deformity to his right arm and hand, due to a severe early childhood injury. He is also hungry for male attention. Your program is one-to-one, and mentors have the freedom (with some time, distance constraints) to take their mentees almost anywhere, and participate in almost any activity.

Bob has met with Tommy three times, and he is very excited about the match. He tells you that this experience is so great that instead of spending the required 90 minutes per week, he has averaged about five hours per week with Tommy. He describes him as a great kid who was silent at first, but who is beginning to really open up. You ask what has helped him to open up, and Bob seems reluctant, but then he tells you that he takes Tommy for long drives and hikes in the mountains, and that the boy loves it.

After awhile, and seemingly out of nowhere, Bob confides in you that he never found the love in his life, that all his attempts at romantic female companionship have been unrequited. He also tells you that he is an amateur songwriter, and he begins singing a song that he wrote about a lost love. He does so with verve and intensity, and his eyes even begin to water. You are amazed at this change in personality for Bob, who you previously thought to be the most stable mentor of your current group.

QUESTIONS:

1. What are the issues that make Tommy vulnerable to abuse?
2. What type of abuse is Tommy more vulnerable to?
3. What are the warning signs that you've just heard about from Bob during this supervision?
4. As program manager, what are the various strategies that you should consider?
5. What should you do now you have heard about the activities that Bob is doing with Tommy?

Attracted

One of your best female mentors has been mentoring a girl who lives with her father, a single parent. From your perspective, the match is getting along great. After four months, during face-to-face supervision she tells you that she is very attracted to this man and that she senses that he is attracted to her also. She tells you that so far they haven't spent much time together, only ten to fifteen minutes in conversation either before she picks up her mentee, or directly afterward, but she also says "I can tell he would date me in a second, if I gave him a sign." She also points out that she really enjoys her relationship with her mentee, she doesn't want to damage it, and she knows that dating the girl's father would present tremendous complications. She says, "what do you think I should do?"

TROUBLESHOOTING PROBLEMS & PREVENTING CRISIS

QUESTIONS:

1. How should you respond in the moment?
2. After the supervision session, you run and get your program manual and you see that there is nothing covering potential romantic relationships. What do you do?

Boundary and Safety Issues

During group supervision with 12 other mentors present, one of your mentors, a 24 year-old bachelor, discusses recent developments with his mentee, an eleven-year-old boy. "It's going great! Six months ago when I started mentoring my mentee he was a lazy dude! Now he even comes over to my house and mows my lawn. I usually pay him 10 bucks and it's a big help to me, as I don't have the time to do yard work. It's a win-win situation. I get the yard done and he gets to ride my little John Deere tractor. If it's hot, afterward he goes swimming in my pool, or I just let him lay on the couch watching t.v., and he can eat anything that's in the refrigerator. In fact, I let him know where the key is to my house and I told him he can come in anytime, as long as it's not after eight at night — that's when I have my lady friends over."

QUESTIONS:

1. What are the risk factors?
2. What are the liability issues for the program?
3. What policies and procedures should a program have in place to deal with these issues?
4. What kind of training/rules should deal with some of these issues (What a Mentor Is and Isn't, Boundary Issues, Policies and Procedures)?
5. What would you do in the moment during the group supervision?
6. What would you do after the group supervision to deal with these problems?

NOTES

2002
Regional Training
Symposiums



MODULE 7

MINIMIZING DAMAGE
WHEN CRISIS OCCURS

NOTES

Crisis Scenario

You are a program manager of a neighborhood-based one-to-one mentoring program for at-risk youth ages 8-14. One of your mentees, Lisa (12) is matched with a couple, Tom and Joannie. The match has been going on for six months, and was going quite well until a few weeks ago when Lisa suddenly began refusing to see her mentors. Lisa's mother cannot understand why things changed, as she said Lisa was very happy to have her mentors until that point. Tom and Joannie appear to also have no understanding of Lisa's sudden reticence to spend time with them. When you meet with Lisa yourself, she confides that she feels very uncomfortable when Joannie leaves her alone with Tom. She will not say anything more about why Tom makes her feel this way. She just insists that she does not want to see them again-not even to say goodbye.

Questions

NOTES

1. What kind of support will the mentor in this scenario require from the program?
2. What kind of support will the mentee and family require from the program?
3. What types of referrals might be needed in addressing the crisis described? What type of follow-up is needed in referring those services?
4. What type of documentation is needed?



NOTES

2002
Regional Training
Symposiums

MODULE 8

PREVENTING
CHILD SEXUAL ABUSE
IN MENTORING PROGRAMS

1. General Information about Child Sexual Abuse
2. Indicators of Child Sexual Abuse
3. Preconditions for Committing Child Sexual Abuse
(and Counteractions to those Preconditions)
4. Assessment of Risk Factors before Deciding on
Screening Tools
(by use of the Quality Assurance Risk Matrix)
5. Choosing Your Program's Screening Tools
6. Prevention during the Mentoring Cycle

Much of this module is excerpted from: *Screening Volunteers to Prevent Child Sexual Abuse: A Community Guide for Youth Organization*, by the National Collaboration for Youth.

NOTES

I. General Information About Child Sexual Abuse

Youth within mentoring programs are particularly vulnerable to child predators. Many mentees have high risk factors in general. Hungry for adult attention and often damaged by previous (or even current) relationships, these youths sometimes come from homes where various types of abuse may become common place.

It's no secret then that mentoring programs can be the "hunting grounds" for molesters who volunteer for the sole purpose of gaining access to children. Therefore, one of the greatest concerns for staff should be "how do we protect our mentees from these individuals?" Many mentoring programs use all the traditional screening procedures, including fingerprinting and criminal background checks, but are there other ways to safeguard mentees from this terrible abuse? Thankfully, the answer is, "yes," and this part of the risk management training will explore some of those strategies.

Please note that even though this module is largely about preventing child sexual abuse, sometimes mentors with even the best intentions will go beyond the boundaries that the program sets. This doesn't necessarily mean that these mentors are preying on their mentees—it could be that a mentor is out of balance and emotionally needy, or just temporarily off track. Therefore, the information from this module, including child abuse warning signs, can be used not only for dealing with child predators, but to help the program monitor and support each and every mentoring relationship.

NOTES

A Definition of Child Sexual Abuse:

The National Center for Child Abuse and Neglect defines child sexual abuse as “contact or interaction between a child and an adult when the child is being used for the sexual stimulation of the perpetrator.”

What Does a Child Predator / Abuser Look Like?

“Child abusers and molesters look like anyone else. They aren’t identifiable by any readily observable physical, mental, psychological or behavioral characteristics — except that they mistreat children.”

— *The Season of Hope: A Risk Management Guide for Youth-Serving Non Profits*

NOTES

2. Indicators of Child Sexual Abuse

Physical Indicators of Child Sexual Abuse

- Difficulty in walking
- Torn, stained or bloody underwear
- Pain or itching in the genital area
- Pregnancy
- Bruises or bleeding of the external genitals
- Sexually transmitted diseases

Behavioral Signs of Sexual Abuse

The behavioral signs of sexual abuse are likely to be present longer and more conspicuously than physical signs.

- Exhibiting apprehension when sexual abuse is brought up
- Wearing lots of clothing, especially to bed
- Unwillingness to be left alone with a particular person
- Inappropriate understanding of sex for the child's age
- Fearing touch
- Drawing pictures with genitals
- Abusing animals
- Persisting in inappropriate sex play with peers or toys
- Cross-dressing
- Masturbating in public
- Engaging in prostitution

"The presence of any of these indicators signals the possibility that sexual abuse has occurred. The indicators alone aren't conclusive evidence that the child has been molested." — *The Season of Hope: A Risk Management Guide for Youth-Serving Non Profits*

3. Preconditions for Predators Committing Child Sexual Abuse

NOTES

Preconditions for Predators

There are several preconditions for predators coming into your mentoring program and committing sexual abuse. They are:

1. The entry into a program of an individual with the proclivity to sexually abuse children.
2. The individual with this proclivity overcomes his or her inhibitions against committing abuse.
3. The individual overcomes a) his or her inhibitions and b) external barriers set up by the program.
4. The individual overcomes resistance by the child.

Counteracting the Preconditions for Predators

If these are the preconditions for child sexual abuse, then what can programs do to make it more difficult for child predators?

1. To counteract "the entry of child predator into a program," potential mentors can be put through thorough screening procedures (but it's not totally effective — some slip through).
2. To counteract "the individual overcoming his/her inhibitions," programs can reinforce the predator's inhibitions by being clear about the consequences of such actions during interviews and trainings.
3. To counteract "the predator overcomes his/her inhibitions and the external barriers set up by the program," the program can monitor the participants, frequently interview the mentees, and in some instances, restrict the mentoring meetings to public places.
4. To counteract "the individual overcomes resistance by the child," training can be given to children and parents on how to identify and resist child predators.

NOTES

Preventing Through Screening

Volunteer screening is one of the primary strategies in preventing child sexual abuse. Even the most thorough screening procedures don't always work, the book *Screening Volunteers to Prevent Child Sexual Abuse: A Community Guide for Youth Organizations* points out, "...addressing child sexual abuse during volunteer screening is beneficial in three ways:

1. It provides an opportunity to discourage and deter individuals who volunteer to gain access to children for sexual purposes.
2. It may identify other applicants with histories of inappropriate conduct with children and enable the organization to reject their applications.
3. It addresses concerns of parents and the general public regarding the safety of children receiving services.

Assess Risk Factors Before Designing Your Screening Process

Prior to deciding on which methods to use in the volunteer screening process, programs need to determine the nature and the level of risk factors. To help you to assess your programs' risks, please consider the Child Sexual Abuse Risk Matrix. This tool was developed by the National Collaboration for Youth, but we have added boxes that will facilitate the assessment of risk factors in your respective mentoring programs.

The matrix identifies eleven risk factors for child sexual abuse. As you read each risk factor, you will see the progressive elevation of risk factors for each category is logical. For instance, looking at the first factor where it says, "activities held in public places," being in public would be inherently less risky than being involved in "activities held in private homes." Even less safe would be the third category of "activities held in isolated settings."

In the matrix note the smaller boxes underneath the second and third level of risk where it says "mitigated." This term means that the risk exists but steps have been taken to monitor the situation by amending policy, or by frequently interviewing the mentee, for example. For the first element listed where it lists the high risk factor of "activities held in an isolated setting," mitigation may mean that the program enforces a policy of having two mentors and two mentees together at all times.

In the case of "unmitigated," steps have not been taken to lessen the risk.

Evaluate each of the risk factors as they currently relate to your program by putting a check or "x" in the appropriate box. Next, if you have any

comments or thoughts about making changes, please make notes in the larger empty box provided.

Mentor Screening Procedures

Now that you understand more about your program’s risk factors, you can begin to consider your screening strategies.

Disqualifiers

Organizations should develop a list of “disqualifiers” that would prohibit volunteers from being accepted into their program. Disqualifiers should include:

- Failure to complete the screening process.
- Past history of sexual abuse of children.
- Conviction for any crime in which children were involved.
- History of violence or any sexually exploitive behavior.
- Termination from a paid or volunteer position caused by misconduct with a child.
- Others?

Background Information

Each program should create an application for potential mentors. Information that is useful when screening volunteers against the risk of child sexual abuse includes:

- **Identification:** Name, address, date of birth, sex, social security number, and state or states of residence for at least the past five years.
- **Experience:** Past volunteer and employee positions working with children and youth organizations, accompanied by the names of supervisors.
- **Offense Histories:** Type of offense, when, where, and disposition.
- **Consent:** Willingness of the applicant to permit the organization to conduct its screening process and collect necessary information.
- **References:** Names, addresses, and phone numbers of at least three individuals who are familiar with the applicant’s volunteer or employment experience.

Choosing Your Program’s Mentor Screening Tools

As you use your screening tools, be sure that the information given to you by the potential volunteer and the information provided by other sources is consistent. If information is inconsistent, then it should raise red flags.

NOTES

The basic idea regarding screening tools relates directly to the Child Sexual Abuse Risk Exposure Matrix that we just looked at. The higher the risk factors, the more screening tools you would want to use. Also, if any doubt about the applicant arises during the initial screening process, you would want to then use additional and more thorough screening procedures.

Basic Mentor Screening Tools

- **Written application and review** (to include the information referred to above)
- **Face-to-face interview** (it's best to have at least two staff interview the applicants)
- **State Department of Justice (DOJ) Fingerprint and criminal background check** (some programs will require FBI check if applicant has lived in the area for a short time — agencies typically have anywhere from a two to five-year minimum before instituting the FBI checks)
- **Three reference checks** (usually one personal and two employer or volunteer position related)
- **DMV printout, proof of insurance** (if they are allowed to drive the mentee)
- **Successful completion of pre-match orientation and training**

Advanced Mentor Screening Tools

- **FBI Fingerprint and criminal background check** (see note on DOJ fingerprinting above).
- **Home visits** (opportunity to get a sense of applicant's lifestyle, cleanliness and safety in the home, significant others, etc.)
- **Observation** while working with a child or groups of children in the program to see how the volunteer interacts with mentees.
- **Sex Offender Registries** can document individuals convicted of sex related offenses.
- **Child Abuse Index** is available only to licensed day care facilities. This provides information about whether the potential volunteer has ever been accused or investigated of committing child related crimes.
- **Psychological Evaluations**, such as the MMPI have been used by some organizations in an attempt to weed out child predators, although many experts believe that no instrument can be effective in identifying such individuals.

NOTES

4. Prevention during the Mentoring Cycle

Some of these strategies were discussed previously in this module, but they are worth another quick mention:

- ❑ **Train.** Train the mentees (and parents) on sexual abuse, what it is, how to resist, and how to report.
- ❑ **Warn.** The department store sign reads: "Shoplifters will be Prosecuted to the Full Extent of the Law!" Let volunteers know that any sexual manipulation of mentees will be severely dealt with.
- ❑ **Monitor the match.** The more eyes and ears monitoring the match, the better. Talk to the mentor, the mentee, parents, referral sources and people who have witnessed the relationship in action.
- ❑ **Make staff available.** Always let program participants know that you are available should they have any concerns about their counterpart, or if they are uncomfortable in any way.
- ❑ **Logs.** Pay attention to how much time mentors and mentees are spending with each other, what they are doing, and any concerns that mentors (or mentees) may be reporting. If logs aren't turned in on time, or are incomplete, follow up.
- ❑ **Let mentors know that you often talk with mentees.** This is a declaration that the lines of communication are open.
- ❑ **Watch for improper boundaries.** Examples: too much touching, too much time spent together, breaking travel or overnight rules, too many trips to Disneyland, gifting the mentee or the mentee's family, doing favors for the mentee or family.
- ❑ **Hold participants accountable.** Mentors and mentees need to know the program rules and they should follow them.
- ❑ **The mentor questions staff or the mentee about mentee's sexuality.** It may be out of true concern for the mentee, or these questions may be an indication of an impure interest.
- ❑ **Watch for dramatic changes in the match,** and especially monitor the "emotional barometer" of participants. For instance, if the mentor or mentee are suddenly closer than ever before, or they are withdrawing from each other, something critical may be happening.
- ❑ **Monitor your gut feeling.** Although predators blend in, you should keep checking in with your gut feeling, as that's one of the best indicators.
- ❑ **Change program rules when necessary.** For example, if you have a mentor who is spending eight hours a week with a mentee, this needs to be addressed. Options are (in addition to terminating the match should this red flag prove out) to require the relationship to meet only under supervision, to insist that another dyad accompany the match in question at all times, etc.
- ❑ **Other strategies?**

NOTES

.....

CHILD SEXUAL ABUSE MATRIX

Child Sexual Abuse Matrix

Lower	Medium	Higher
-------	--------	--------

Activities held in facilities with public access.	Activities held in private homes.			Activities held in an isolated setting (e.g. wilderness).		
	Mitigated	Some Mit.	Unmitigated	Mitigated	Some Mit.	Unmitigated
Rating:						
Comments, notes, course of action, if any:						

Parents actively involved in program with their child.	Some parental involvement in program.			No parental involvement in program		
	Mitigated	Some Mit.	Unmitigated	Mitigated	Some Mit.	Unmitigated
Rating:						
Comments, notes, course of action, if any:						

Two or more adults supervising group activity.	One adult supervising a group of children.			Activity with one adult and one child.		
	Mitigated	Some Mit.	Unmitigated	Mitigated	Some Mit.	Unmitigated
Rating:						
Comments, notes, course of action, if any:						

No regular interaction between volunteer and any specific children.	Period interaction for short periods of time between volunteer & specific children.			Interaction between volunteer and specific children spanning long period of times.		
	Mitigated	Some Mit.	Unmitigated	Mitigated	Some Mit.	Unmitigated
Rating:						
Comments, notes, course of action, if any:						

Child Sexual Abuse Matrix

Lower	Medium	Higher
-------	--------	--------

No changing of clothing as part of activity.		Changing of clothes, showering, (such as for sport activities).			Changing of clothes, bathing, toileting, or overnight stays.		
		Mitigated	Some Mit.	Unmitigated	Mitigated	Some Mit.	Unmitigated
Rating:							
Comments, notes, course of action, if any:							

Training for volunteers concerning child sexual abuse is required.		Training concerning child sexual abuse offered to volunteers, not required.			Training concerning child sexual abuse not offered to volunteers.		
		Mitigated	Some Mit.	Unmitigated	Mitigated	Some Mit.	Unmitigated
Rating:							
Comments, notes, course of action, if any:							

Education about child sexual abuse is required for youth participants.		Education about child sexual abuse is offered to children, but not required.			Education about child sexual abuse is not offered to children.		
		Mitigated	Some Mit.	Unmitigated	Mitigated	Some Mit.	Unmitigated
Rating:							
Comments, notes, course of action, if any:							

Organization regularly monitors and evaluates the volunteer's activity.		Organization provides informal oversight of the volunteer's activities.			Volunteer operates on organization's behalf without oversight.		
		Mitigated	Some Mit.	Unmitigated	Mitigated	Some Mit.	Unmitigated
Rating:							
Comments, notes, course of action, if any:							

Child Sexual Abuse Matrix

Lower		Medium			Higher		
Volunteer has no physical contact with children.		Volunteer and child engaged in activities involving some physical contact.			Volunteer has close physical contact with children (e.g. swimming instruction, wrestling).		
Rating:							
Comments, notes, course of action, if any:							

Organization has very little staff turnover (including volunteers).		Organization has some staff turnover.			Organization has considerable staff turnover (including volunteers).		
Rating:							
Comments, notes, course of action, if any:							

Services offered to children older than 12 years of age.		Services offered to children younger than 12 years of age.			Services focused on children of any age who have disabilities.		
Rating:							
Comments, notes, course of action, if any:							

2002
Regional Training
Symposiums



MODULE 9

RESOURCES

Operations Manual



Development of an Operations Manual

The Operations Manual is based on the ten Quality Assurance Standards (QAS) for Youth Mentoring Programs. Experienced program managers understand that the Quality Assurance Standards are vital in creating safe and effective programs. Essentially a framework for best practices, these standards are also recognized as a valuable tool for promoting mentee safety and personal growth.

When first learning how to develop a mentoring program, it takes new program managers a long time to understand how to utilize the standards. It's our belief that their use can be simplified if program managers develop an operations manual as described below.

Remember, the primary uses of an operations manual are A) to develop strategies to be used in running the mentoring program, and B) to chronicle the development of operational procedures so that they can be passed on to subsequent program staff.

Here's how to begin the development of your operations manual:

- Purchase a 1 - 1/2 to 3 inch plastic three-ringed binder from your office supply store.
- Purchase a set of 15 (or more) subject dividers.
- On the first 10 dividers, put the name of each of the QAS standards starting with "Statement of Purpose and Long Range Plan."
- Print a brief description of each of the standards (as given below) on the first page of each QAS section as a reminder of what the program is about.
- Throughout the program, chronicle any developments, timelines, plans, successes or failures, etc. in their respective categories.

With the additional dividers, you can consider the following additional headings:

RISK MANAGEMENT: Make a separate heading Risk Management, and put the "QAS Risk Management Matrix" in its entirety into this section. Follow the instructions in part Module 4 of this training that describe utilization of this tool.

Narrative: This section can serve as a journal for the program. Whose idea was it to start the program? What personnel were on the original design team? Where did the funding come from? What were some of the early successes and failures? Subsequent program staff can benefit greatly from this information.

Quality Assurance Standards: Obtain a copy of the Quality Assurance Standards in their entirety and place in this section. Sometimes it's good just to read through the standards to see if anything jumps out at you (that you may need to improve on).

Forms: Place program forms, letters, sign-off sheets, etc. in this section and periodically assess for possible updating.

Brief Descriptions of the Ten Quality Assurance Standards

As previously noted, paste each descriptor on the first page of each subject heading in your operations manual. Then throughout the life of your program, place any materials, strategies, etc, which pertain to a particular standard in the appropriate divider. (There are longer descriptions available if you wish to place them here.)

1. A **Statement of Purpose and a Long Range Plan** that includes:

- Who, what, where, when, why and how activities will be performed.
- Input from originators, staff, funders, potential volunteers, and participants.
- Assessment of community need.
- Goals, objectives and timelines for all aspects of the program.
- Funding and resources development plan.

Statement of Purpose and Long Range Plan is the guide that steers your program. This plan begins with “mission statement” and “goals and objectives” and includes who will be mentored, how many, where, how often, by whom. Many aspects of this plan will be integrated into the mentor training manual, as well as other program materials.

2. A **Recruitment Plan** for both mentors and mentees that includes:
- Strategies that portray accurate expectations and benefits.
 - Year round marketing and public relations.
 - Targeted outreach based on participants' needs.
 - Volunteer opportunities beyond mentoring (i.e., event organization, office support, etc.)
 - A basis in your program's statement of purpose and long-range plan.

A year-round **Recruitment Plan** is necessary to tap into resources such as service clubs, schools, corporations, businesses, and professional organizations to find mentors. This plan includes the development of key phrases, speeches, brochures, flyers, public service announcements, and media campaigns that accurately depict your program.

3. An **Orientation** for mentors and mentees that includes:

- Program overview.
- Description of eligibility, screening process, and suitability requirements.
- Level of commitment expected (time, energy, and flexibility).
- Expectations and restrictions (accountability).
- Benefits and rewards they can expect.
- A separate focus for potential mentors and participants.
- A summary of program policies, including written reports, interviews, evaluation, and reimbursement.

The **Orientation** clarifies roles, responsibilities and expectations of mentors, youth, their families, the mentoring program, and the school (if they are a partner). The orientation is a way of describing the program in detail, including the commitments and the terms of participation in the program. After the program manager lets everyone know what the program is about, then they ask the participants, “are you still interested?” Note that the mentor orientation is usually much shorter than the initial basic mentor training.

4. Eligibility **Screening** for mentors and mentees that includes:

Adult Mentors

- An application process and review.
- Face-to-face interview.
- Reference checks for mentors which must include criminal history record checks (finger printing), and may include character references, child abuse registry check, and driving record checks.
- Suitability criteria that relate to the program statement of purpose and needs of the target population. Could include some or all of the following: personality profile; skills identification; gender; age; language and racial requirements; level of education; career interests; motivation for volunteering; and academic standing.
- Successful completion of pre-match training and orientation.

Youth Mentors

- An application process which must include a parental consent form.
- Face-to-face interview.
- Reference checks of at least two personal non-related adults.
- Successful completion of a pre-match training and orientation.

Screening sets the standards of who is eligible for the mentoring program. Safe programs set eligibility requirements and conduct fingerprint and background checks through the California's Department of Justice (or through the FBI if the mentor candidate has been in the area for less than two years). This process weeds out persons with felonies and other crimes which indicate the person would present a high risk for youth. Mentees are screened by making sure they meet the eligibility criterion set by the program.

STRATEGIZING TO REDUCE RISK

5. A readiness and **Training Curriculum** for all mentors and mentees that includes:

- Trained staff trainers.
- Orientation to program and resource network, including information and referral, other supportive services, and schools.
- Skills development as appropriate.
- Cultural/heritage sensitivity and appreciation training.
- Guidelines for participants on how to get the most out of the mentoring relationship.
- Do's and don'ts of relationship management.
- Job and role descriptions.
- Confidentiality and liability information.
- Crisis management/problem solving resources.
- Communication skills development.
- Ongoing sessions as necessary.

Training Curriculum: During the initial basic training, mentors learn more fully the requirements, policies and procedures of the program. In addition, mentors are trained on how to build a positive relationship with their mentee. Subject matter can include "proper mentor attitude and expectations, communication skills, diversity issues, child and adolescent development, confidentiality, child abuse reporting, goal setting, academic tutoring, etc." These and other subjects will be covered during "on-going" trainings also. Ongoing trainings can take a number of forms such as round table discussions and support groups, or even guest presentations.

The mentees' training is typically shorter than the mentors', as it mainly focuses on program procedures, the process of building a stable relationship with an adult, as well as how to get the most out of the mentoring relationship.

6. A **Matching Strategy** that includes:

- A link with the program's statement of purpose
- A commitment to consistency and accountability
- Appropriate criteria for matches, including some or all of the following:
skills identification; career interest; gender; age; level of education;
motivation for volunteering; and standing within the organization ;
life experience; temperament
- A signed statement of understanding that both parties agree to the
conditions of the match and the mentoring relationship

Matching Strategy: Each program needs a plan for matching mentors and mentees. Programs should consider not only chemistry, but also interests and other elements, such as race and ethnicity, language, hobbies, etc. Expertise of mentors and difficulty of the mentoring task also comes into play, as well as time availability of mentor and mentee.

7. **Monitoring process** that includes:

- Consistent, scheduled meetings with staff, mentors, and participants
- A tracking system for ongoing assessment
- Written records and filing system
- Input from community partners, family, and significant others
- A process for managing grievances, praise, re-matching, interpersonal problem solving, and premature relationship closure

Monitoring is the process of making sure the match is progressing well. It is important to find out if the match is still meeting, program rules are being followed, and that everyone is relatively happy. Monitoring can also track the progress of the mentee's function in such areas as school attendance, grades, referrals, general mood, etc.

Having mentors and mentees fill out program logs after each meeting is a central part of the monitoring process. Research shows that matches that are monitored last longer and are much more successful than those that are not carefully monitored.

The monitoring process includes defining the rules for problem solving, early termination, as well as the rematching of participants should a relationship end early.

8. A **Support, Recognition and Retention Component** that may include:

- A formal kick-off event.
- Ongoing peer support groups for volunteers, participants, and others.
- Ongoing training and development.
- Relevant issue discussion and information dissemination.
- Networking with appropriate organizations.
- Social gatherings of different groups as needed.
- Annual recognition and appreciation event.
- Newsletters or other mailings to mentors, mentees, supporters, and funders.

Note: Support, Recognition, Retention is the only three-part standard.

Support means that each participant has a support system that they can rely on during the program. Support can mean assistance from the program manager and from peers. Periodic “ongoing trainings” and “group supervisions” are also essential in the support of program participants.

Recognition is a way of rewarding mentors and mentees for their involvement. Many programs enlist celebrations and awards of a way of saying thanks.

A **Retention** plan is important so that programs will have continuing participation of mentors and mentees. A retention plan focuses on celebrations, awards, and positive communication with program participants and with parents.

9. **Closure** steps that include:

- Private and confidential exit interviews to de-brief the mentoring relationship between:
 - Mentee and staff
 - Mentor and staff
 - Mentor and mentee without staff
- Clearly stated policy for future contacts between mentor and mentee
- Assistance for participating in defining next steps for achieving personal goals (for the mentee)

Closure: This is an element that is usually very brief in its development and implementation, but is very important. “Closure” means that the program has a strategy for letting participants (especially the mentees) know the length of the mentoring relationship, so that there won’t be hard feelings upon termination. Improper closure could make the mentees experience feelings of abandonment and betrayal. Closure also gives program participants the opportunity to discuss with staff how they felt about the support (or non-support) from staff and the program in general. Finally, a sound closure policy also clarifies any future contact between mentors and mentees. To reduce program liability, send certified letters with return receipt requested, to document that mentors and parents have received notification that the match will no longer be supervised by the program.

10. An **Evaluation** process based on:

- Outcome analysis of program and relationship.
- Program criteria and statement of purpose.
- Information needs of board, funders, community partners, and other supporters of the program.

The **Evaluation** is the report card for the program. How many youths were mentored by how many adults, and for how long? What costs were incurred? What was the experience of the mentor and mentee? What changes (if any) occurred in the mentee? Did they receive higher grades and testing scores? Less referrals? How did mentoring effect their social skills? Evaluations can include “self-evaluations” or more complex tools such as a “matrix model.” Staff should allow mentors and mentees to evaluate the program as well as the trainings. Often called “satisfaction” surveys, these evaluations are used to determine if the program is working and also to assess the need for changes and improvements.

2002
Regional Training
Symposiums



EMT

Evaluation Management, and Training
391 South Lexington Dr., Suite 110
Folsom, CA 95630
916.983.9506

California Department of Alcohol and Drug Programs
Mentor Resource Center
800.879.2772

Mentoring 2002: Risk Management for Mentoring Programs Symposiums are a project of The EMT Group, Inc.,
funded through the California Department of Alcohol and Drug Programs