

RISK MANAGEMENT

Introduction

The information provided in the Kentucky CES Risk Management site is designed to help Extension professionals assess and address risk management situations. Where appropriate, links to the other Cooperative Extension resources are included.

Risk Management Expectation of Kentucky Cooperative Extension County Employees

It is the responsibility of all CES employees to be aware of factors in program implementation, event planning, volunteer management, facility ownership and other situations that could cause injury to participants and spectators and damage to the organization, reputation of Extension and its CES volunteer organizations. When planning an event or activity, take time to consider the potential risks, utilize best practice for risk management and develop a risk management plan. Be sure to follow the established guidelines identified in this document. If you have additional questions, contact either your District Director (for county events), or the state specialist coordinating the event (for state events).

Role of UK Risk Management Office

The University of Kentucky has a Risk Management Office with staff who can work with Extension professionals to evaluate the risk and the insurance needs related to medical and liability insurance.

Phone:

859/257-3708

Website:

<http://www.uky.edu/EVPFA/Controller/risk.htm>

RISK MANAGEMENT PRACTICES FOR PROGRAM DESIGN, EVENT PLANNING AND EVENT

Risk exists in all facets of Extension programs including the design of the program, event planning and the event itself. When planning an Extension event, consider the following risk management practices and precautions:

- Activities and assignments should be age appropriate.
- Risks need to be analyzed and strategies identified to address these risks.
- A risk management plan should be written and shared with staff.
- Insurance needs and current coverage needs to be evaluated. <http://manual.ca.uky.edu/node/137>
- Accident/medical insurance should be purchased on all participants if applicable.
- Certificate of insurance should be secured from the University Office of Risk Management or local insurance provider (*if needed.*)
- Ensure that cooperating organizations have liability insurance (*if needed.*)
- Emergency action plan should be written.
- Volunteer application packets should be processed, screening has been completed, and all individuals who have direct, unsupervised contact with vulnerable audiences have been accepted as volunteers. <http://manual.ca.uky.edu/client-protection-handbook>
- Orientation about the event should be completed for all staff, volunteers, and youth.
- The required number of volunteers (according to the age of the audience) needs to be secured to chaperone this event.
- Liability Shields should be signed and collected from each participant if applicable. For information on liability shields see <http://manual.ca.uky.edu/client-protection-handbook/chapter17>

- Participant information is needed for Extension clientele in certain situation. When personal information is collected, remember to keep all information confidential.
 - **Youth Participants**
 - The Kentucky 4-H Participant/Enrollment Information form for 4-H youth should be signed by parents/guardian when the **4-H member is under the custodial care of a staff/volunteer (not a parent)**.
 - A copy of the form should remain at the County Extension Office and copy of the form should be with the 4-H group while in the custodial care of a staff/of volunteer.
 - **Adult Participants**
 - Emergency contact phone numbers should be collected for adults who travel to CES events with an agent, in a CES owned or leased automobile, bus or van.
 - The office and agent should have a record of the emergency phone numbers.
 - Require adults to carry their Insurance Card with them.
- Instruction and education on use of equipment and tools should be provided if applicable.
- Transportation arranged by agents should only be provided by screened volunteers who have insurance, a valid driver's license, and have completed the University of Kentucky MVR form. A copy of the UK Motor Vehicle Registration form must be sent to UK Risk Management. <http://www.uky.edu/EVPFA/Controller/risk.htm>
- A site review should be completed prior to the activity. Address concerns and share information with volunteers.
- The county extension agent should be informed of the event or activity implemented by volunteers and other Extension employees.

RISK MANAGEMENT PLAN CHECKLIST FOR PROGRAMS, EVENTS AND ACTIVITIES

The following is to be used when planning an event to ensure that all necessary steps and precautions to manage risks have been taken.

1. **Name of group** _____
2. **Location of event** _____
3. **List the learning objectives and opportunities** that will take place with this program.

4. **Name and contact information for each person (staff and volunteer)** providing leadership for the program, event or activity. _____
5. **Name and contact information of specialist** involved with this event.

6. **List all volunteers** that will be involved in the program, event or activity, along with their **contact information** and indicate that they have **completed the entire screening protocol** and have **been accepted** if applicable. _____
7. List **steps** that will be followed prior to program, event or activity to **ensure a safe learning environment**. _____
8. **Determine the medical accessibility** (medical facilities) and **protocol** in case of **medical emergency**.

9. **First Aid Kit**. Name the designated person responsible for the First Aid Kit.

10. Identify the **mode of travel** and considerations. _____
11. **Supporting Documents:**
 - a. Attach an **Emergency Action Plan**, detailing emergency telephone numbers for participants to call in case of emergency and designate a location for the group to meet in case group gets separated.
 - b. Attach **itinerary** or program outline.
 - c. Attach a copy of the **lease, rental agreement** or copies of the tickets.
 - d. Attach an **Out-of-state travel** request if applicable.
12. Obtain accident and other insurance for the event. Insurance information can be found at <http://manual.ca.uky.edu/node/137>
 - a. Take copies of the Insurance Claims Forms for the event while in travel status.
 - b. Take copy of the carrier's insurance policy.
 - c. Take copies if the incident forms for the event.
13. Secure **participation information** and take copies to the event.
14. Follow all travel policies.
 - a. Extension guidelines are located at <http://manual.ca.uky.edu/node/79>
 - b. University policies are located at <http://www.uky.edu/EVPFA/Controller/BPM.htm>

BEST PRACTICES FOR EXTENSION PROFESSIONALS TO REDUCE RISK

Extension programs, events and activities must be conducted in such a manner as to reduce risk and provide a safe, warm, welcoming, inclusive environment that is as free from harm and risk as is possible. This responsibility is the obligation of professional staff and volunteers alike. When implemented, the following “best practices for conducting Extension Programs” will substantially reduce the level of risk encountered by Extension professionals, volunteers, clientele, as well as Cooperative Extension Service, the College of Agriculture, Food and Environment and the University of Kentucky.

- **Vulnerable Audiences is defined as** “youth, home-bound, immigrant, physically, mentally or emotionally challenged, disadvantaged and underprivileged audiences.”

Chaperoning and Supervising Vulnerable Audiences:

- Participant information is needed for Extension clientele in certain situation. When personal information is collected, remember to keep all information confidential.
 - **Youth Participants**
 - The Kentucky 4-H Participant/Enrollment Information form for 4-H youth should be signed by parents/guardian when the **4-H member is under the custodial care of a staff/volunteer (not a parent)**.
 - A copy of the form should remain at the County Extension Office and copy of the form should be with the 4-H group while in the custodial care of a staff/of volunteer.
 - **Adult Participants**
 - Emergency contact phone numbers should be collected for adults who travel to CES events with an agent, in a CES owned or leased automobile, bus or van.
 - The office and agent should have a record of the emergency phone numbers.
 - Require adults to carry their Insurance Card with them.
- **Activities involving vulnerable audiences must have constant, continuous adult supervision.** Overnight activities pose the highest degree of risk to the Extension professional, adult volunteer and the program participant.
- **The “two-adult leadership” rule is required for all activities** conducted with youth and other vulnerable audiences.
- **Adult volunteers chaperoning or supervising youth and vulnerable audiences must have undergone the CES Screening Process and have been accepted as volunteers.**
- **Volunteers must be at least 19 years of age by January 1 of the current year.** *Where agents are unable to recruit enough adults to serve as **4-H camp counselors**, 18 year olds who have completed the entire volunteer screening protocol may serve.
- **All volunteers and staff will receive orientation and education prior to CES that will include recognizing and responding to bullying and *emergency procedures*.** This orientation and education component shall be added to all volunteer position descriptions.
http://manual.ca.uky.edu/volunteer_position_descriptions
- **Maintain a minimum adult to youth chaperone ratio when working with youth, as follows:**

| Age of Youth | No. of Youth | No. of Adults | No. of Youth | No. of Adults | No. of Youth | No. of Adults |
|---------------------|---------------------|----------------------|---------------------|----------------------|---------------------|----------------------|
| 5 and under | 1 - 10 | 2 | 11 - 15 | 3 | 16 - 20 | 4 |
| 6 - 8 | 1 - 12 | 2 | 13 - 18 | 3 | 19 - 24 | 4 |
| 9 - 14 | 1 - 14 | 2 | 15 - 21 | 3 | 22 - 28 | 4 |
| 15 - 19 | 1 - 20 | 2 | 21 - 30 | 3 | 31 - 40 | 4 |

***Note: 4-H Camp has a different adult to youth ratio to meet ACA requirements.**

- When dealing with mixed gender youth groups, **a sufficient number of adults (staff and/or approved adult volunteers) of both genders shall be present** to properly manage all activities and premises.
- **Adults and youth shall never share overnight lodging in the same room** with the following exceptions:
 - Lodging at residential camps
 - Family members may stay in the same room (in some situations); however, this is not encouraged because the young person's interaction with other youth is so important.
- **Rooming arrangements with youth audiences must be disclosed to youth participants involved, as well as their parents.**
- **When using barrack-style sleeping arrangements for youth, there shall be at least two chaperones and/or counselors in each housing unit.**
- **Be sensitive to the potential risk to personal safety and reputation which may arise if meeting alone with a young person in a room** including office, hotel rooms, cabins, dormitories, changing rooms, showers or rest rooms. Doors shall never be closed. If circumstances call for a private meeting, involve a second adult in the meeting, or meet in a room with a window whereby another adult can view the exchange.
- **Be sensitive to the risks involved in participating in some contact sports** with youth and exercise particular caution when doing so.
- **Jokes, stories and discussions of a sexual nature** are not permissible.
- **Be cautious of becoming overly involved or spending excessive time with any one youth** or member of a vulnerable audience.
- **The nature of Extension work does not provide for the role of an Extension professional to evolve to that of a guardian, "surrogate" or "foster parent."**
- **The privacy of vulnerable audiences is to be respected.**
- **No secret organizations** may operate within Extension.
- **Hazing and initiations** are prohibited and may not be included as part of any Extension activity.
- **Verbal, physical, and cyber bullying are prohibited.**
- **Teens serving in leadership roles are to be supervised and monitored by adults.** Extension professionals and approved adult volunteers must monitor and guide the leadership techniques used by teen leaders and ensure that Extension policies are followed.
- **Discipline shall be constructive and reflect Extension's values.** Corporal punishment is never permitted. Refer to the Event and Activity Conduct Management Guidelines found at http://4hguide.ca.uky.edu/sites/4hguide.ca.uky.edu/files/forms/Event_and_Activity_Conduct_Management_Guidelines_2011.pdf

Transportation:

- Specified **driving guidelines**, as outlined in the University of Kentucky Business Procedures Manual should be followed (http://www2.ca.uky.edu/fm/UK_motorpool.php).
- **In cases where Extension employees and vulnerable audiences are traveling together, there shall always be at least two approved adults present.**
- **Extension professionals or volunteers should not request minors to transport other minors to Extension sponsored events in their own car or Extension-owned vehicles.**

Social Media:

- **Protect the privacy of all Extension audiences** when using social media.
- Follow **University of Kentucky Social Media Policies and Guidelines.** <http://www.uky.edu/regs/files/ar/AR10-4.pdf>

- Review and strictly **adhere to the terms of service and existing guidelines** outlined by each individual social media channel (e.g., Facebook, Twitter, YouTube, etc.) and CAFE.
<http://marketing.ca.uky.edu/socialmedia>
- Follow Extension best practices for **photo releases**.
[http://marketing.ca.uky.edu/sites/marketing.ca.uky.edu/files/2013/Policies/Photo-Image consent form ACS.pdf](http://marketing.ca.uky.edu/sites/marketing.ca.uky.edu/files/2013/Policies/Photo-Image%20consent%20form%20ACS.pdf) 4-H has a photo-release as part of the 4-H Participant/Enrollment Form.
- Extension employees should **separate professional and personal** social media accounts.
- **The “Two-Adult Leadership” Principle applies to all Extension related electronic communications, social media groups and interactions.** At least two adults should be included in all electronic communications when communicating with youth.
- When **Extension social media groups** are necessary (i.e. State Teen Council’s Facebook “closed group”) the Extension professional shall include his/her direct supervisor as a member of the group, along with another Extension professional or approved adult volunteer and serve as the administrator for the site
- **Inform program participants about the appropriate use of cell phones and cameras** in a manner appropriate for the Extension event.

LIABILITY SHIELDS

<http://manual.ca.uky.edu/client-protection-handbook/chapter17>

INSURANCE TO MANAGE RISK

<http://manual.ca.uky.edu/node/137>

TRAVEL FUNDING GUIDELINES

<http://manual.ca.uky.edu/node/79>

MANAGING RISK THROUGH CLIENT PROTECTION

<http://manual.ca.uky.edu/client-protection-handbook>.

CHILD ABUSE AND MANDATED REPORTING

<http://manual.ca.uky.edu/client-protection-handbook/chapter12>