

**UNIVERSITY OF CALIFORNIA, DAVIS
AUDIT AND MANAGEMENT ADVISORY SERVICES**

**UC Davis Health
Volunteer Services
Audit & Management Advisory Services Project #18-23**

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Volunteer Services Audit and Management Advisory Services Project #18-23

Background

Volunteer Services was founded in 1976 with the goal of bringing on volunteers that can “join a team of caring professionals whose mission is to improve the health of the people in the community they serve.” Volunteer opportunities are designed to add friendly support and service that can ease and brighten a patient’s clinic visit or hospital stay. Volunteers at UC Davis Medical Center are comprised of community members, UC Davis undergraduate students, and students from other high schools and colleges.¹ The length of a volunteer’s service may vary, with a minimum commitment of 90 hours or six months. Interested volunteers are provided with a list of available placements in various departments, with predefined responsibilities and schedules. Occasionally, volunteers may choose to work on specific activities for a defined period of time. In such instances, volunteers work with departmental leadership to develop an individualized volunteer placement.

Volunteer Services is responsible for managing volunteers servicing UC Davis Medical Center and the Primary Care Network clinics² (PCNs). Functions include, but are not limited to approving a department’s request for volunteer(s), ensuring that volunteers have appropriate placements based on their level of interest and departments’ needs, validating that volunteers have met all onboarding requirements, monitoring volunteer hours, and ensuring that volunteers are compliant with annual medical and training requirements. Ad-hoc requests or concerns pertaining to volunteers are also addressed by Volunteer Services. As of March 2018, 917 volunteers service UC Davis Medical Center and the PCNs.

Purpose and Scope

As part of Audit and Management Advisory Services’ (AMAS) audit plan for Fiscal Year 2018, a review was conducted to assess the policies, procedures, and practices in place by Volunteer Services for oversight and management of volunteers at UC Davis Medical Center and PCNs.

The review included an evaluation of UC Davis Health policies and procedures related to volunteers, along with interviews and walkthroughs with key personnel within Volunteer Services, UC Davis Internship & Career Center, and UC Davis Health Information Technology. Based on observations identified during the preliminary survey, and the scheduled implementation of a new volunteer management system in fall 2018, detailed testing was not performed. See Observations, Recommendations, and Management Corrective Actions below for current processes and system (Section i), and processes post new system implementation (Section ii).

Conclusion

Volunteer Services has worked diligently over the years to expand volunteering opportunities throughout UC Davis Medical Center and PCNs, while ensuring that all onboarding

¹ All volunteers are required to be above the age of 16. Volunteers younger than 18 years of age are required to obtain parental/guardian consent.

² As of August 2017, Volunteer Services only manages volunteers at UC Davis Medical Centers. Volunteers that provide service to UC Davis School of Medicine, School of Nursing, and student-run clinics are not the responsibility of Volunteer Services.

requirements have been met. Our review identified opportunities to improve monitoring of and compliance with annual tuberculosis (TB) screening requirements. In addition, Volunteer Services should increase communication with departments by notifying them when onboarding requirements have been met, and with volunteers by apprising them of when they have cleared their background checks.

With a new system for managing volunteers scheduled to be implemented, opportunity exists for Volunteer Services to enhance processes by reducing its manual workload and utilizing system capabilities to create efficiencies. This includes developing automated processes to replace manual tracking of volunteers' completion of onboarding and annual training requirements, and eliminating the need for UC Davis undergraduate students to resubmit applications quarterly.

Furthermore, Volunteer Services should consider alternative methods to upload non-UC Davis undergraduate student volunteer hours into the system, and obtain appropriate approval from Department leadership to validate the hours. Lastly, opportunity exists to purge current volunteer records from PeopleSoft, and ensure processes are in place to purge volunteer records in the new system based on record retention policies.

I. OBSERVATIONS, RECOMMENDATIONS, AND MANAGEMENT CORRECTIVE ACTIONS

i. Current Processes & System

A. Volunteer Services failed to monitor and follow-up on volunteers' annual TB screening requirements during October and November 2017. Opportunity also exists to develop an automated report to readily identify volunteers that have not met, or will be at risk of, not meeting, the annual TB screening requirements.

For all new volunteers, excluding UC Davis undergraduate students, the date on which TB screening requirements are met is documented on an index card and recorded in the volunteer's PeopleSoft profile. Twice a month, Volunteer Services staff reviews the index cards to identify volunteers whose annual TB screening requirements are coming due the following month. A letter is subsequently mailed out reminding the volunteer to bring in the necessary documentation by the end of the month or be at risk of losing their volunteer assignment. Once volunteers have submitted the updated documentation, the information is stored in their files, Peoplesoft TB completion date is updated, and the index card is updated with the new TB clearance date.

Due to a staff member's absence in October and November 2017, Volunteer Services did not timely monitor and follow-up with volunteers who had not completed their annual TB screening requirements. As a result, 20 volunteers with a lapse in their annual TB screening requirements were able to continue their assignment at UC Davis Medical Center and PCNs for approximately a month³ until notification was provided by Volunteer Services. All volunteers were subsequently confirmed to be negative for TB.

³ Volunteers whose compliance lapsed in October were notified November 2, 2017 and those whose compliance lapsed in November were notified on December 5, 2017.

This lack of timely monitoring for TB screening requirements poses a compliance and medical risk to the university. Additionally, Volunteer Services leadership were not made aware of the lapse in timely monitoring for annual TB requirements until June 2018.

Furthermore, since the TB clearance date is recorded in PeopleSoft, opportunity exists to develop a report to identify volunteers most recent TB screening completion date in lieu of manually reviewing index cards. The report could be used to readily determine volunteers' who are, or will be at risk of, being out of compliance with the annual TB screening requirements. This would prevent potential errors associated with manually tracking TB screening compliance, and save resource time.

Recommendations

1. Volunteer Services should work with UC Davis Health Information Technology to develop a PeopleSoft report identifying volunteer's most recent TB screening completion date.
2. Volunteer Services should develop a process to review the PeopleSoft report on a periodic basis to determine the volunteers who are or will be at risk of being out of compliance, and document the action taken to ensure compliance with annual TB screening requirements.
3. Volunteer Services should identify back-up personnel responsible for timely following up on volunteer's that are or will be at risk of non-compliance with annual TB requirements.
4. A monthly process should be developed by which Volunteer Services' leadership oversees work performed by the team to ensure that timely and adequate notification is provided to volunteers and departments of potential non-compliance with annual TB requirements.

Management Corrective Actions

- a. By October 15, 2018, Volunteer Services will request from UC Davis Health Information Technology to develop a PeopleSoft report that identifies volunteers and their most recent TB clearance date.
- b. By December 15, 2018, Volunteer Services will develop a monthly process to review the PeopleSoft report and document that appropriate steps have been taken to notify volunteers and Departments of volunteers that are, or will be, at risk of being out of compliance with the annual TB requirements.

- c. By August 29, 2018, Volunteer Services identified appropriate back-up personnel for following up on volunteer's annual TB requirements.
- d. By December 15, 2018, Volunteer Services will develop a process to have the Volunteer Services Manager review the work performed by staff to ensure timely and adequate notification is provided to volunteers and departments of potential non-compliance.

B. Background check forms containing personal information are sent through interoffice mail between the Davis and Sacramento Campuses, and are transmitted to Volunteer Services who then walk them over to UC Davis Human Resources.

When applying for volunteer assignments on a quarterly basis, UC Davis undergraduate student volunteers are required to complete background check forms at the UC Davis Internship and Career Center (UCD ICC) based on the Davis campus. The form requires personal information such as address, date of birth, and social security number. Upon completion, UCD ICC compiles and sends all background check forms through interoffice mail to Volunteer Services based at the Sacramento campus. Upon receipt of the forms, Volunteer Services documents in an excel spreadsheet shared with UC Davis Human Resources (UCD HR) the volunteer's name along with the date on which the form was received. Volunteer Services will then walk over the forms to UCD HR, who submits the information electronically to a third-party background check vendor. Once the volunteer's background check is completed, the shared excel spreadsheet is updated by UCD HR to indicate whether the volunteer has cleared their background. The process of interoffice mailing the background check forms from the Davis to Sacramento campus, and requiring Volunteer Services to handle the forms prior to UCD HR poses a risk of loss or theft of confidential personal information.

Recommendations

1. Volunteer Services should collaborate with UCD ICC to identify a secure mechanism by which to transmit volunteer background check forms from the Davis to the Sacramento campus.
2. Volunteer Services should collaborate with UCD HR to consider alternative processes that eliminate Volunteer Services from handling background check forms.

Management Corrective Actions

- a. By September 15, 2018, Volunteer Services will meet with UCD HR and consider alternative processes to transmit background check forms that would allow Volunteer Services to be eliminated from handling the forms.
- b. Unless a process is established to eliminate Volunteer Services from handling the background check forms, by February 15, 2019, Volunteer Services will work with UCD ICC to implement a process to transmit the background check forms electronically (e.g., Box) from the Davis to Sacramento campus via a secure and encrypted method.

C. Volunteer Services does not have a process to notify UC Davis department management when volunteers have completed all onboarding requirements and are cleared to begin their service.

Prior to beginning their service, all volunteers are required to complete the following onboarding requirements: obtain medical and background clearance, complete mandatory trainings (i.e. Privacy & Security), and sign a confidentiality form. Upon verification that all requirements have been met, Volunteer Services will issue a UC Davis Health System badge to the volunteer. The badge, presented to the department on the volunteer's first day of service, is expected to serve as notification that the volunteer is cleared to begin their service. Relying solely on the badge, with no direct communication provided by Volunteer Services regarding the volunteer(s) clearance prior to their anticipated start date, hinders the Department's ability to effectively plan for volunteer(s).

Recommendation

1. Volunteer Services should develop a process to notify departments when volunteers have been cleared to begin their service.

Management Corrective Action

- a. By August 28, 2018, Volunteer Services developed a process to email department management when volunteers have been cleared to begin their service. The notification will included the date by which all requirements were met, and the volunteers expected start date.

D. Volunteers are required to contact Volunteer Services to determine whether they have cleared their background checks; no notification is sent to volunteers upon their clearance.

After volunteers complete and submit their background check forms, the information is transmitted to a third-party vendor for review. It can take a month or longer to obtain clearance. On a weekly basis, UC Davis Health Human Resources will review the vendors' results, and in an Excel spreadsheet shared with Volunteer Services, will document the volunteers' date of clearance. Despite having access to this information, Volunteer Services does not notify volunteers of their background clearance. Volunteers are instead required to contact Volunteer Services on a periodic basis to ask if they have been cleared and can pick up their badges.

Recommendation

1. Volunteer Services should develop a weekly process to review the shared Excel spreadsheet for volunteers that have cleared their background checks, and timely notify those volunteers of their clearance.

Management Corrective Action

- a. By August 28, 2018, a weekly process was developed to review the shared Excel spreadsheet and identify volunteers that have cleared their background checks. An email and telephone call are subsequently made to the volunteers notifying them of their clearance.

ii. Processes After New System Implementation

E. Opportunities exist to improve and develop new processes during the new system implementation.

During the course of the audit, we identified opportunities to automate manual tasks, reduce repetitive tasks, enhance oversight of volunteer hours, and ensure that only necessary volunteer data are retained, see (i) through (v) below. Since a new system will be implemented during fall 2018 to manage volunteers, we do not recommend process changes to the current system. Instead, Volunteer Services should seize opportunities to enhance and develop these processes during the course of the new system implementation.

i. Volunteers' completion of onboarding requirements is tracked manually

All volunteers are required to submit documentation supporting their completion of onboarding requirements⁴ prior to expected start date. Upon receipt of the information, Volunteer Services documents the completion dates in the volunteer's PeopleSoft profile⁵, and retains a hardcopy of the application as supporting documentation. The background check clearance date is retrieved by Volunteer Services from an Excel spreadsheet shared with Human Resources. The application is kept out, and is not filed until all requirements have been completed⁶.

On a weekly basis, Volunteer Services reviews all unfiled applications to determine if any volunteers with outstanding requirements are scheduled to start their service within the next week. If applicable, notification is provided to the department regarding potential delays in volunteers' start dates. In addition, Volunteer Services will contact the volunteers to request the outstanding requirements.

The manual process of reviewing each hardcopy application to determine the completion status of volunteers' onboarding requirements is inefficient, resource intensive, and may result in untimely notification to departments regarding the status of their volunteers' start dates.

⁴ Onboarding requirements include obtaining medical and background clearance, completing mandatory trainings, and signing a confidentiality form prior to beginning their volunteer service.

⁵ The background check clearance information is provided by Human Resources via a shared excel spreadsheet that is reviewed by Volunteer Services on a daily basis. The Volunteers' PeopleSoft profile is updated with the clearance date.

⁶ All documentation is adequately stored under lock and key when not in use.

- ii. *Annual training requirements are manually tracked.*

Completion dates of annual trainings are recorded in volunteers' PeopleSoft profiles. In addition, the completion dates are recorded on an index card for each volunteer, as the card is utilized to monitor annual compliance. Twice a month, Volunteer Services' staff will review the index cards to identify volunteers whose annual training requirements are coming due the following month. A notification is sent to the volunteer indicating that it is necessary to complete training and submit necessary documentation by the end of the month. Once a volunteer has submitted updated documentation, the information is stored with the volunteer's file, the Peoplesoft entry is updated, and the index card is updated with the new completion date. This manual process is inefficient and could result in errors.

- iii. *UC Davis undergraduate student volunteers with commitments longer than one quarter are required to complete and resubmit their applications and applicable onboarding documentation on a quarterly basis.*

For certain volunteering placements, UC Davis undergraduate students are required to provide service for longer than one quarter. In such situations, the student volunteers are required at the beginning of the quarter to meet with UCD ICC to complete another application, and resubmit their medical clearance and training completion documentation before being allowed to continue their service. Resubmission of the application is required as it triggers verification as to whether the volunteer has met all the medical and training requirements for the upcoming quarter, as there is no mechanism in place to monitor these requirements for UC Davis undergraduate student volunteers. From July 1, 2017 to June 6, 2018, approximately 487 out of a total of 1,566 students had placements at UC Davis Medical Center that were longer than one quarter, resulting in resubmission of numerous applications.

- iv. *PeopleSoft volunteer profiles are not purged in accordance with record retention policy.*

There is no process to periodically review and purge inactive or incomplete volunteer profiles in PeopleSoft. Processes do exist to review and purge paper applications and associated documentation.

- v. *The process for recording volunteer hours in PeopleSoft is manual, and the hours are not reviewed by departments.*

Per UC Davis Health Policies and Procedures §3228, *Volunteer Services Department and Program Policy*, Volunteer Services is responsible for tracking volunteer hours. This is to verify that non-student volunteer hours do not exceed

what is scheduled, and to ensure that volunteer responsibilities do not replace those of paid employees. Most volunteers, excluding UC Davis undergraduate students, are provided with a schedule outlining specific dates and times for their volunteering service each week. During each visit, volunteers are required to sign in and out at various public areas within the UC Davis Medical Center and PCNs. These hours are collected on a weekly basis and manually recorded by Volunteer Services in each volunteer's PeopleSoft profile. There currently is no process for confirming with departments the hours recorded by the volunteer.

Recommendations

1. As part of the Volunteer Services system implementation, the project plan should include a step to review, evaluate, and consider developing the following:
 - i. Processes to readily report on completion status for volunteers' onboarding requirements. Requirements should be recorded in the system in unique fields to allow for reporting of such data.
 - ii. A report to identify each volunteer's last training completion date. Processes should then be developed to review the report and identify volunteers that are or will be out of compliance with the annual training requirements. Notification should be sent to the volunteers and the departments regarding potential loss in volunteer service if training requirements are not met.
 - iii. Processes to prevent UC Davis undergraduate student volunteers from having to resubmit an application when they have committed to a volunteer service that exceeds one quarter.
 - iv. A process to (i) review the existing PeopleSoft volunteer profiles and purge inactive and incomplete profiles, and (ii) periodically review and purge inactive and/or incomplete volunteer profiles in the new system. These processes should be developed in accordance with UCOP record retention policies.
 - v. Processes to require department management to review the accuracy of the recorded hours for all volunteers. Volunteer Services should also evaluate options to load scheduled hours into each volunteer's profile to prevent manual entry of hours. Exceptions, such as a vacation day, should be manually entered by Volunteer Services.

Management Correct Actions

- a. As part of the new system implementation project plan, Volunteer Services by December 15, 2018 will include a step to review, evaluate, and consider developing the processes identified in (i) through (v) above.