

Policies & Procedures

A Development Workbook and Guide



Policies and procedures are designed to regulate all major decisions, actions, and principles of an organization. Where policies set the expectation for employee behaviors, the procedures outline the steps to get there.

Well-detailed policies & procedures serve as valuable communication tools for the efficient implementation of all business operations within the organization and for reducing operational error and oversights.

Your policies and procedures reflect your organization's best practices, standards for how work is to be performed, and core business process descriptions.

Many organizations today are simplifying how their policies and procedures are communicated by making them available through intranets and employee portals.

Getting Started

- **Keep in mind that this is a collaborative process**
- **Give yourself time to get all the input you need from others**
- **Acknowledge that there will be many versions before the final document**
- **Assign someone with skillful writing and editing skills to the project**

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HOW TO USE THIS WORKBOOK

This workbook will walk you through the development and implementation of a Policy and Procedure that can serve as a model for future Policy and Procedure development.

Following the steps outlined in this workbook will serve as a checklist to keep your process on track through completion. Each step exists along a sequence that maximizes efficiency and quality. Include all the steps provided to help you ensure that your Policies and Procedures reflect who you are, what you believe in and how you conduct business. Good luck!

Let's Get Started

Disclaimer: Please remember that this workbook is only a guide. It is not an official document. You should always consult standards of care or other guidance as it relates to oversight agencies you work with. For some policies and procedures an attorney may be needed before approval of the final version.

Introduction:

Conceptualizing, Developing and Writing a Policy and Procedure

You have been tasked with reviewing the Policies and Procedures your organization has had for many years as well as some that have never been created. In the last 10 years the organization has changed dramatically in size and services. You know that many staff never referred to your organization's old Policy Manual and most people learned what to do and how to respond in situations (e.g., fire/evacuation drills, missing persons, incidents, medication management, etc.) through experience and following in the steps of senior colleagues.

Although this is how it's always been, you acknowledge that this is not the best scenario for your organization moving forward in these fast changing and turbulent times. It would only take one missed procedural step or one action out of sequence or one missing policy to result in jeopardy to your organization's service delivery, legal standing, reputation and financial stability. Your community standing is based on the reputation you have earned for service delivery and accessibility and you want all staff to represent the organization in a similar professional, creative and innovative way.

This Workbook has been created to guide you through the steps you and your team will take to update your organization's policies and procedures to make them clear, easily communicated, readily followed and consistent with your organizational mission, service philosophy, culture and programmatic uniqueness. We suggest that you first use the workbook with a particular policy that needs to be either revised or written for the first time. The steps you will encounter in this process are generalizable to all the other types of policies and procedures your organization needs.



Remember, you are not in this alone and writing policies and procedures is a collaborative process. We recommend that everyone involved read the workbook in its entirety to begin to understand the whole scope of Policy and Procedure development and implementation. By the end of the Workbook, you will have written an effective Policy and Procedure and acquired the skills to move ahead and develop a plan to assure your whole organization is up to standards with policies and procedures.

Section 1: The Basics:



1. *Policy and Procedure: What's the difference?*

A policy mandates, specifies, or prohibits conduct in order to enhance the institution's mission, ensure coordinated compliance with applicable laws and regulations, promote operational efficiency, and/or reduce institutional risk.

Policy drives intent

A procedure is a description of the operational processes necessary to implement policy. Procedures have clear reachable steps to ensure the policy is operationalized.

Procedure drives behavior

2. *Why are policies & procedures important?*

Policies and Procedures:

- ✓ empower the workforce
- ✓ support organizational sustainability
- ✓ maintain mission integrity
- ✓ protect organizational reputation
- ✓ ensure consistency of service delivery and practice
- ✓ minimize risk.



3. *What do I need to know to develop policies & procedures?*

- ✓ The organizational mission, culture and structure
- ✓ Organizational resources, capability and limitations
- ✓ Licensing and certification regulations (OMH, OASAS)
- ✓ Federal and local laws (DOL, OSHA, ADA)
- ✓ Contractual obligations (HUD, DHS, Unions)
- ✓ Professional and ethical guidelines (APA, NASW, AMA, FASB)
- ✓ Stakeholder expectations (consumers, families, community boards)



Types of Policies and Procedures:

1. Policy Statement Only

This refers to a policy statement for which there is no associated procedure. Examples of this are: *No Smoking, Dress Code, Hours of Operation, Unauthorized Use of Company Property.*

2. Policies *and* Procedures

A procedure is required when a policy statement requires specific actions, usually by people with specific titles, in order to be carried out. Some examples of policies requiring procedures can be found in:

- a) Human Resources
 - a. Hiring and Termination
 - b. Requesting Time Off
 - c. Grievance
- b) Fiscal
 - a. Payroll
 - b. Check Signing
 - c. Billing
- c) Facilities Management
 - a. Repair Request
 - b. Fire Safety
 - c. Office Cleaning
- d) Information Technology
 - a. Technical Assistance
 - b. Equipment Replacement
 - c. Technology Updating
- e) Quality Management
 - a. Program Auditing
 - b. Standards Compliance
 - c. Confidentiality
- f) Board of Directors
 - a. Recruitment and Onboarding
 - b. Agenda Setting
 - c. Minutes Approval
- g) Program Operations
 - a. Admission, Discharge
 - b. Medication Storage
 - c. Safety

NOTE:

Some policies require collaboration between two or more departments, e.g., Facility Management (fire and safety) & Program Operations (fire drills); Information Technology (equipment replacement) & Fiscal (budgeting); Human Resources (hiring) & Quality Management (regulatory compliance) & Fiscal (budgeting).

LET'S TRY

Name at least three statement only policies at your organization:

1. _____
2. _____
3. _____



Name at least three other policies at your organization that will require interdepartmental collaboration:

1. _____
2. _____
3. _____

6.

Policy Statements:

A policy statement is a written declaration of the conditions and scope of expectations regarding an element of your organization's mission and of its employees in relation to that element of the mission. Here is an example of a **Remote Work Policy Statement**:

1. Objective: This Remote Work Policy provides guidelines and procedures for employees who work remotely, also known as telecommuting, teleworking, or working from home. This policy applies to any employee working from any place outside of our physical office space.

2. Scope: Teleworking can be either a permanent or temporary arrangement between an employee and the Organization where the employee is permitted to perform work partially or fully from a space that is outside of our physical office space.

(a) Who can work remotely? To be eligible for a remote work arrangement, the employee must:

- Have reliable Internet access
- Be capable and competent to perform job duties with minimal supervision, and possess good time-management and organizational skills
- Be authorized by their Supervisor with specific guidelines and limitations.

(b) Not all jobs offer this flexibility due to the nature of the tasks performed or the needs of the Organization and our participants. Typically, positions requiring in person interaction with others do not meet the requirements to be considered for a remote work arrangement.

(c) Expectations for Remote Employees: While employees and their supervisor have the flexibility and authority to craft work from home arrangements that are uniquely tailored to the individual employee and Organization's needs, the following requirements must be met:

- Employees must be able to perform the same duties, assignments, and other tasks when working remotely as they do when working in the Organization's physical space
- Employees must be available to collaborate with the Company or other employees during regular working hours
- The employee and Organization will agree on the number of remote workdays allowed, the employee's work schedule, and the method and frequency of communications.
- The employee should be available by an agreed upon means, such as online or via phone, within a reasonable time period during the agreed upon work schedule.

Note: This Policy Statement would have an accompanying section that would list the steps for requesting supervisory authorization for remote work with an accompanying remote Work Request Form with required signatures.

Section 2: Who Is Involved?

Putting a Stakeholder Workgroup Together

Let's practice involving the right people for you as you develop your policies and procedures.

Answer These Questions to Think Through the Members for Your Group: (Select the right member, include names, and contact information)

(a) Who will this policy and procedure involve?

(b) With which departments does it intersect?

(c) Does it require particular expertise? In house or external?

(d) Does it require particular authorization or "sign-off?"

(e) Identify a start date when you plan to contact all the named stakeholders to set a "kick-off" meeting (virtually, in-person, or both).

Contact Date _____

Kick-off Meeting Date _____



Section 3: Aligning Policies with Your Organizational Culture:

It's important for your policies and procedures to align with your organization's culture or philosophy. Are they:

✓ Recovery-oriented	✓ Person-centered
✓ Trauma-informed	✓ Resiliency-oriented
✓ Diverse, Inclusive and Equitable	

Buy-in will increase if your policies and procedures align with your philosophy.

For example, in subscribing to a recovery philosophy the content and language of your organization's

Policies and Procedures should reflect:

- *individual choice and self-efficacy*
- *Possibility and hope*
- *Wellness rather than illness*
- *Considering people as individuals rather than diagnoses and labels.*

Note the **language** selected in the following examples excerpted from a recovery-based, trauma-informed and person-centered Medication Monitoring Policy:

"1. Individuals who **have chosen** to be assisted with taking their medication will be **invited** to meet with the designated Medication Monitor at a specific and **agreed-upon** pre-arranged time. **Upon request** by the individual, reminders may be sent (texted) earlier in the day for that day's appointment."

"2. Individuals diagnosed with **challenges** requiring prescriptions of controlled substances **will have adequate opportunity and time to be properly informed** of the addictive nature of the medication. and **be assured of their option** to meet with their prescribing physician to **consider alternatives**."

Exercise

Below is an example of what NOT to do! Please edit/rewrite the following Policy Statement excerpt so that it aligns with your organization's recovery-based, trauma-informed and person-centered approaches to care.

"Medication monitoring is a service provided for all psychiatric patients, particularly those with a Serious Mental Illness (SMI). Medication monitoring is provided to ensure that patients comply with prescribed medication regimens. Medication monitoring can be started at any time the patients treatment provider decides that it is necessary for keeping the patient in compliance with their treatment regimens. This service complies with our organizational objective to achieve optimal health outcomes for our patients."

Can You Align Your Policy Statement with Your Organizational Mission and Values?

Organization Mission Statement: *To enhance the potential for healing and growth in a responsive and dignified manner, for residents of our county and surrounding areas regardless of ability to pay, so that they may better manage their personal lives and improve the quality of family and community living.*

Organization Values: *We value and actively demonstrate hope, acknowledge resiliency and the ability for all human beings to grow and recover. We believe that each individual follows their own journey to recovery at their own pace and utilizes different skills and supports to attain their chosen life goals. We are committed to offering those supports and teaching those skills in a trauma informed, strength-based, recovery/resiliency oriented and anti-racist atmosphere.*



Let's write a Policy Statement for Admission to Services: *(ensure it matches the mission and values above)*

Policy Statement _____

Compare yours to these possible policy statements below. How did you do?

- *To provide services that enhance the lives of those we serve.*
- *To assure that each individual can follow their own journey to recovery*
- *To ensure that all people have timely and person-centered access to resources*
- *To make services accessible, recovery oriented and utilize strengths to assist people to access our programs.*
- *Ensure people feel welcome in services in a way that is culturally appropriate, respectful and doesn't require them to tell their story over and over.*
- *to provide person-centered, strength-based services to support the recovery of our members.*

Section 4: Language Matters

Traditional Language

disturbed

difficult

lies

argumentative

manipulative

non-compliant



Recovery Language

confused

challenging

believes that....

argues strongly for....

persuasive

chooses not to...

There are many other pathologizing words that can be replaced with neutral or positive language that reflect organizational culture that believes and operates along the principles of person-centered, recovery-based and trauma-informed service delivery.

This applies equally to personnel policies and procedures where the language should respect employee cultural, gender and ethnic diversity, right to make choices, and opportunity to be seen and heard.

While you may elect to include policies in your Employee Manual that are specifically intended to promote diversity, equity, inclusion and belonging in your organization, all policies should be written in language that reflects the organization's commitment to those values.

**DIVERSITY
INCLUSION
ACCEPTANCE
WELCOMING
SAFE SPACE**

TIPS

WATCH YOUR LANGUAGE!

- Use pronouns that are respectful of non-binary and transgender people.
- Diagnosis is just one part of a person's identity. Avoid generalizations and labels that ignore diversity and intersectionality, e.g., "the mentally ill," "diabetics," "serving the deaf."
- Consider "asset framing," i.e., referring to people in terms of their aspirations and contributions rather than their problems.
- Avoid global blaming terms, e.g., "the disadvantaged." Say "people who may be disenfranchised."
- Provide context when referring to health disparity, e.g. Instead of just "Many African Americans are prone to high blood pressure," add "due to social determinants of health like poverty, stress from racial discrimination, etc."

*(Structural Racism & Health Equity Language Guide. American Heart Association:
<https://professional.heart.org> March 2022)*

Section 5: Developing Effective Procedures

Keys For Developing Feasible and Effective Procedures

*Procedures Are Only as Good as How Accurately
They Are Implemented.*

Procedures are more likely to be followed as prescribed:

- ✓ when staff understand the value and the importance of the policy and procedure
- ✓ when the policy and procedure are detailed. *Specificity enhances adherence.*

Keep it as simple as possible:

- ✓ Simple procedures require less in terms of training and practice than complex procedures
- ✓ Procedural complexity is a function of the number of steps and the number of people involved in conducting a procedure
- ✓ Complex procedures usually require more oversight and more extensive support strategies.

Measuring if, and how, procedures are being followed in the field (fidelity) is an important dimension of sustainability in the policy and procedure development process. Procedural fidelity is discussed in greater detail later in this workbook.

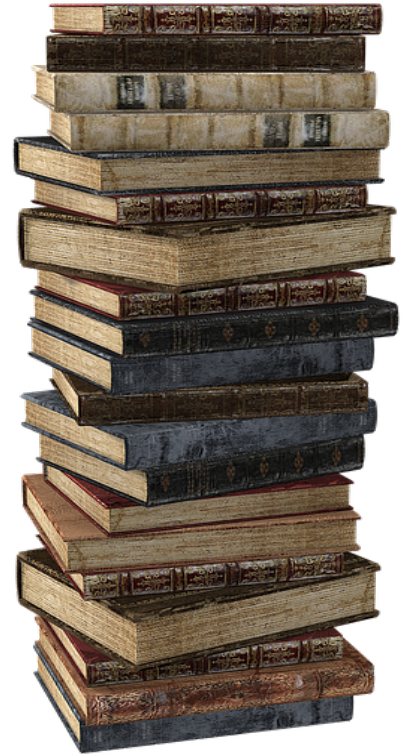


Pre-Writing Resource Checklist

What you need to get started is often dependent on what kind of policy you are writing.

1. If you are writing a policy that pertains to a *program* that is licensed by a state authority you will need the regulations for that license, which can be accessed on-line on that state authority's website. If your policy refers to operation of a grant funded program, you will need the Request for Proposal (RFP) document to which you originally responded in order to obtain the grant. That RFP will contain all of the funders operational requirements, usually along with references to any other necessary resources for executing the grant.
2. If you are writing a *human resources* policy, you will need to know all the Federal, State and local labor laws, and in some instances a labor attorney should review your policy and procedure.
3. Similarly, *fiscal* policies and procedures must adhere to federal and state tax laws, federal and state authority reporting and auditing guidelines and foundation grants periodic reporting and auditing requirements.

Depending on the category area the policy and procedure you are writing fits into, the background documents referred to here will need to be downloaded and disseminated to the members of your Policy and Procedure Stakeholder Workgroup prior to beginning.



It is essential that workgroup members familiarize themselves with all the legal and contractual requirements associated with the policies and procedures they participate in writing before they get started.

Section 6: Procedural Fidelity:

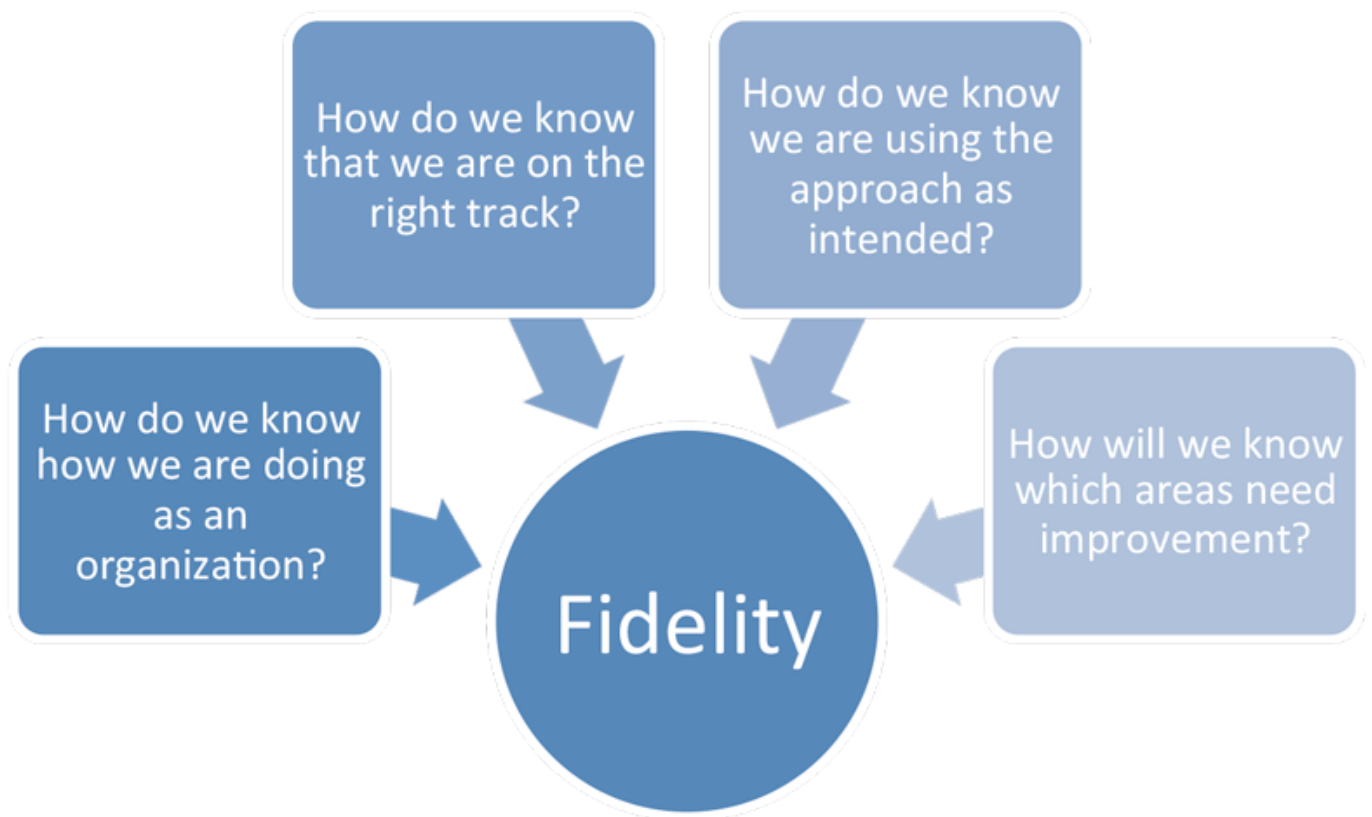
What is it and How do I Achieve It?

- ✓ You've written your policy and the procedures for carrying it out.
- ✓ You've disseminated it to your program supervisors, and after a period of review you set an effective date for implementation.

Procedural fidelity refers to whether the procedural steps your stakeholder workgroup has so carefully mapped out for conducting the policy are being followed in the field.

If the outcomes associated with your policy (regulatory/legal compliance, risk mitigation, etc.) are to be met, following each specific procedural step as outlined is critical.

Monitoring procedural fidelity is as important, if not more so, as crafting feasible procedures in the first place. The figure below illustrates the significance of procedural fidelity in the development and implementation of Policies and Procedures.



Making the Case for Procedural Fidelity Monitoring:

“ Indeed, against the complexity of the world, we must. There is no other choice. When we look closely, we recognize the same balls being dropped over and over, even by those of great ability and determination. We know the patterns. We see the costs. It’s time to try something else.

*Try a
checklist”*

Atul Gawande, 2011
(See Appendix E)



Exercises to Ensure Fidelity:

Let's Practice:

Exercise 1: You are awarded a large grant to implement an innovative community-based program. The service model you are delivering requires a new documentation policy and procedure. *Create a sequential, step-by-step plan to optimize policy and procedure implementation fidelity. (HINT: Start with how you might introduce the policy and end with how you might measure implementation fidelity.)*

Exercise 2: Before you can expect to achieve policy and procedure implementation fidelity, first identify what the barriers to implementation fidelity might be.

- ✓ What are some possible barriers to implementation fidelity you should consider? (HINT: think resource issues)
- ✓ How would you go about assessing whether barriers to implementation fidelity exist?
- ✓ Who might you want involved in that process?

Exercise 3: You are a recovery-oriented organization that has a strong conviction to the value of harm reduction, both as a philosophy and practice in recovery from addiction. You receive funding to serve a justice involved population requiring you to report any substance use by program participants to the Court. Your well-trained recovery-oriented staff express their values conflict in implementing this policy which is asking them to betray fidelity to their own beliefs. *Discuss possible approaches for managing this dilemma.*



Section 7: Reviewing and Revising

On Growth and Change: *Keeping it Real*

Today was
good.

Today was fun.

Tomorrow is
another one."

— Dr. Suess



When is Policy and Procedure review and revision indicated?

At least annually, and when:

- There is a change in your by-laws (e.g., Board titles or committees)
- A new program type or population served (e.g., people with head injury)
- There is a change in regulations or law, (e.g., smoke free service sites)
- You have new funder requirements (e.g., service limits)
- You must adopt new best practices (e.g., quality improvement)
- There is a compelling safety concern (e.g., pandemic, climate disaster)
- You are using new technology (e.g., Artificial Intelligence)

Can you think of any other circumstance or event that might compel you to review and revise an existing policy?

R E M E M B E R

- Outdated policies and procedures undermine your organization's mission, vision, values, goals and culture.
- A procedure that is outdated and contradicts your current fidelity expectations confuses and derails desired workforce behavior.
- A policy that no longer reflects reality undermines organizational credibility and integrity.
- Policies and procedures that cannot be followed promote skepticism about their importance and enforcement.
- Outdated policies and procedures impact efforts to maintain consistency in workforce behavior and performance.

Section 8: Final Considerations

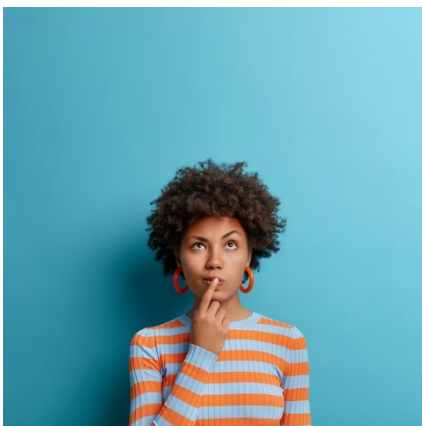
Communicate Policies and Procedures in content and tone:

- ✓ that supports the organizational mission
- ✓ that's consistent with the organization's values and beliefs
- ✓ that is sensitive to the strengths and challenges of all involved in implementation
- ✓ that upholds the organization's authenticity and culture
- ✓ that supports diversity, equity and inclusion
- ✓ that is respectful of the backgrounds of all involved in implementation



Consider the following as you engage in developing effective, meaningful, and feasible policies and procedures:

- ✓ Different service population (older adults, women, children, youth, people who are justice involved, physically challenged, cognitively challenged) demand consideration and adaptation that corresponds with their abilities, needs and preferences.
- ✓ Physical location, architecture, and physical layouts will determine procedural steps and sequences.
- ✓ Different staffing patterns and organizational hierarchies will determine who does what and when.
- ✓ How will it affect the individuals who will carry out the policy and procedure? What resources and supports will they need to carry it out effectively?
- ✓ The complexity of the procedure. How many steps and how many individual roles are involved in implementing the procedure?
- ✓ Depending on the complexity, will staff training be needed? Should there be some beta testing to assess feasibility?
- ✓ Policies and procedures are safeguards against the many risks faced by behavioral health providers.



Always Remember: Policies and procedures are only effective if they are followed.

Additional Resources:

The Power of Policies and Procedures (2021): This series discusses the process of policy and procedure development and best practices to make them relevant and responsive. <https://www.ctacny.org/series/power-of-policies-and-procedures/>

The Art of Developing Policies and Procedures: Creating Safety and a Roadmap for the Future of Your Organization (2022): This series provides participants with essential knowledge, skills, and tools, to develop intentional policies and procedures specific to the needs and culture of their organization. It expands upon content presented during MCTAC's [Power of Policies and Procedures Series](https://www.ctacny.org/series/power-of-policies-and-procedures/) (2021) and provides more opportunities for interactive, tailored discussions on your organization's policies and procedures. <https://www.ctacny.org/series/Developing-Policies-and-Procedures/>

Further Reading:

American Heart Association: Structural Racism & Health Equity Language Guide. <https://professional.heart.org>
March 2022

BIT. AI: <https://blog.bit.ai/> writing-a-policy-and-procedure-manual

Blasé K. Developing, measuring and Improving program fidelity (2014) National Implementation Research Network (NIRN), (2014)

Board Source: www.boardsource.org offers sample policy and procedures for Board of Directors

Carrol C, Peterson M, Wood S, Booth A, Rick J, Balain S. A conceptual framework for implementation fidelity. Implementation Science, 2, Article number 40 (2007)

Childcare Committee County Kildare: <https://www.kccc.ie> Business development/running-your-business/policies and procedures

CompassPoint Nonprofit Services provides samples of policies at: <https://www.compasspoint.org/tools-and-resources>

Council of Nonprofits: www.councilofnonprofits.org provides resources on topics that inform policy development, such as internships in the era of COVID

Council of Nonprofits: <https://www.councilofnonprofits.org/tools-resources/good-governance-policies-nonprofits> maintains a comprehensive list of resources to help you create governance policies

Dusenbury L, Brannigan R, Falco M, Hansen W: A review of research on fidelity of implementation: Implications for drug abuse prevention in school settings. Health Educ Res. 2003, 18: 237-256. 10.1093/her/18.2.237.

Free Management Library: : <http://managementhelp.org/topics.htm> provides a checklist of informative, thought-provoking indicators to help assess and manage your organization's employment and human resources policies

Free management Library: : <http://managementhelp.org/nonprofitfinances/index.htm> provides all kinds of information about Financial Management in Nonprofits

Gawande, Atul. The Checklist Manifesto- How to get Things Right. 2011

Hahn E, Noland M, Rayens M, Christie D: Efficacy of training and fidelity of implementation of the life skills training program. J School Health. 2002, 72: 282-287.

Health and Human Services: www.hhs.gov/ocr/privacy/hipaa/understanding/consumers/noticepp.html provides Information on HIPAA policy

Herzog S, Wright P: Addressing the fidelity of personal and social responsibility model implementation. Res Q Exerc Sport. 2005, A-76. 76 Supplement

Mihalic S: The importance of implementation fidelity. Emotional & Behavioral Disorders in Youth. 2004, 4: 83-86. and 99–105.

JAMA Network: Physician Use of Stigmatizing Language in Patient Medical Records: <https://jamanetwork.com>

Management Library: Sample contents of Board of Director's Manual can be found here: <http://managementhelp.org/boards/manual.htm>

Mowbray, C, Holter M & Teague G & Bybee D. Fidelity Criteria: Development, Measurement, and Validation. American Journal of Evaluation (2003), 24. 315-340. 10.1016/S1098-2140(03)00057-2.

OSHA: <https://www.osha.gov/law-regs.html> provides information and resources to help you better understand and comply with OSHA standards

Power DMS- Why is it important to review policies and procedures? <https://www.powerdms.com/policy-learning-center/why-it-is-important-to-review-policies-and-procedures#:~:text=Why%20do%20you%20need%20a%20policy%20review%20process%3F,or%20technology%2C%20which%20can%20result%20in%20inconsistent%20practices.>

Resnick B, Inguito P, Orwig D, Yahiro J, Hawkes W, Werner M, Zimmerman S, Magaziner J: Treatment fidelity in behavior change research: A case example. Nurse Res. 2005, 54: 139-143. 10.1097/00006199-200503000-00010.

Resnick B, Neale M, Rosenheck R: Impact of public support payments, intensive psychiatric community care, and program fidelity on employment outcomes for people with severe mental illness. J Nerv Ment Dis. 2003, 191: 139-144. 10.1097/00005053-200303000-00001.

Roen K, Arai L, Roberts H, Popay J: Extending systematic reviews to include evidence on implementation: Methodological work on a review of community-based initiatives to prevent injuries. Soc Sci Med. 2006, 63: 1060-1071. 10.1016/j.socscimed.2006.02.013.

Ropes & Gray: <https://www.ropesgray.com/en/Global-Risk-Management-Report> Data and Behavioral Science- A New Approach to Risk Management

Sage Journals: Language Matters: The vocabulary of racism in healthcare. <https://journals.sagepub.com>

Universal Class: <https://www.universalclass.com/articles/business/your-policy-and-procedure-manual-revision-and-update.htm>

Appendix A: Sample Policy and Procedure Template:

Section 1:

Organization _____ Department _____ Date _____

Policy Name _____

Reference (e.g., Regulation, Statute, Accreditation) _____ Last Review Date _____

Dates of prior reviews _____

Reviewed by _____ Title _____

Department _____

☐ Reviewed by Counsel - Counsel's Name _____ Date reviewed _____

Policy Authorized

Name Title _____ Date _____

Section 2:

Policy Statement: Give a brief description (one or two paragraphs) of the policy. This section should be a summary or overview and should not include any substantive aspects of the policy.

Section 3:

Application and Purpose of Policy: This section should lay out the intended goal of the policy, and why this particular policy is necessary. It also should detail to whom the policy applies.

Section 4:

In this section include a glossary to define terms that the average person might not know or understand in the context of the policy. If a glossary of terms exists outside of the policy, reference that glossary here with a hyperlink, if applicable.

Section 5:

This section contains the body of the policy/procedure itself as well as responsibilities for implementing and following. All substantive aspects of the policy should be explained, as well as any exceptions to the policy (if applicable) and consequences for not following the policy. Procedural steps, listed sequentially, including timeframes and persons responsible can be listed in an easy-to-follow chart format.)

Appendix B: Possible Policy Areas for a Nonprofit

Below are some of the areas to include when creating policies and procedures for your organization. This is not an exhaustive list but be mindful of the broad array of categories to cover. Although some of these policies and areas are mandated by federal and state law, depending on the characteristics of your particular program and organization you will need to select the most relevant policies to meet your needs, assure your compliance and minimize risk.

Governance Policies-While not required by the IRS, for clarity, direction and safety, every nonprofit should consider adopting governance policies

Conflict of interest policy	Document Destruction Policy	Gift acceptance policy
Whistleblower policy	Chapter, branch, and affiliate policies	Joint venture policy

Board of Directors Policies- Board policies help to assure the board remains strong, understands its responsibilities and is clear in its mission

Governance Policies	Mission Statement	Bylaws /Articles of Incorporation	Board Duties and Responsibilities
Organization Chart	Board Recruitment, Orientation & Evaluation	Terms and Term Limits	Board and Committee Meetings

Corporate Compliance/Quality Assurance- Each Organization owes it to its stakeholders to assure quality and limit risk through paying attention to compliance and quality assurance

Quality Assurance	Compliance Officer	Confidentiality
Credentialing	Disciplinary Policy	Reporting/Documenting/Tracking
Risk Assessment	Code of Conduct	Whistleblower Policy

Health Insurance Portability and Accountability Act- Adhering to HIPAA regulations not only reduces risk but provides data privacy and security provisions for safeguarding your participants protected health information

Business Associates Agreements	Storage	Limiting Access to PHI	Breaches of Confidentiality
Consents/Data Sharing	Encryption	Training	

Employee Manuals-Human Resources policies help your workforce understand their responsibilities as well as any rules and regulations set by the organization and required by law and regulation. Clear and concise HR policies help your organization to hire, train, and retain a quality workforce

Confidentiality	Internet Usage, Media and Social Media Policy	Employee Standards, Benefits , Equal Hiring Practices
Job Descriptions and Performance Evaluations	Disaster Planning and Recovery Plan	Drug/Alcohol Policy
Travel and Reimbursement	Employee Disciplinary info	Sexual Harassment Policy

Accounting/Finance Policies-Effective accounting/financial policies provide efficient fiscal management, reduce risk, and align financial operations with the mission of the organization.

Annual authorization of signers	Annual Budget/Financial Statements	Contributions / In kind Contributions
Cash Receipts/ Cash Disbursement	Chart of Accounts	Annual Audit
Accounts Receivable/Billing	Payroll/Documenting Time	Indirect Costs/Administrative Cost
Travel Expenses	Financial Reporting – Internal/External	Inventory and Property Records

Safety Policies-The main goal of safety policies is to prevent workplace injuries, illnesses, and deaths, as well as any suffering and financial hardship these events can cause for staff and their families. It is always recommended to use a proactive approach to managing workplace safety and health.

Personal Safety/ Work-Place/Home Visit	Preventing Disease Transmission	Accident and Injury Reporting	Physical Plant Safety
Passive Restraint Training	Food Service Safety	Fire and Disaster Planning	Building Evacuation
Firearms			

Program Policies-Program policies correspond with the type of programs the organization operates and the regulatory mandates and guidance associated with those programs and are essential for maintaining licensing and funding as well as staying true to mission and values in their delivery

Unlicensed Programs	Licensed Programs	Other
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Appendix C: Revised Policy Distribution & Rollout Checklist: (check off as task is completed)

Try this checklist when it's time to revise an existing policy:

- ☐ Policy revised, approved if necessary, dated and distributed to all existing manuals
- ☐ Date and reason for revision indicated in the policy document
- ☐ Notify employees of the changes via email including a link to the new policy and electronic signature verifying that it has been read and understood
- ☐ Enlist supervisors to discuss/reinforce at local staff meetings
- ☐ Staff meeting where new policy was discussed, attendance verification (sign in sheets)
- ☐ Periodic policy implementation fidelity report (For major revisions or new policies)
- ☐ Schedule training (as needed).

Appendix D: Sample Procedure Checklists

Here's are good examples of simple but effective procedure checklists to guide your staff:

From a Program Vehicle Policy and Procedure manual:

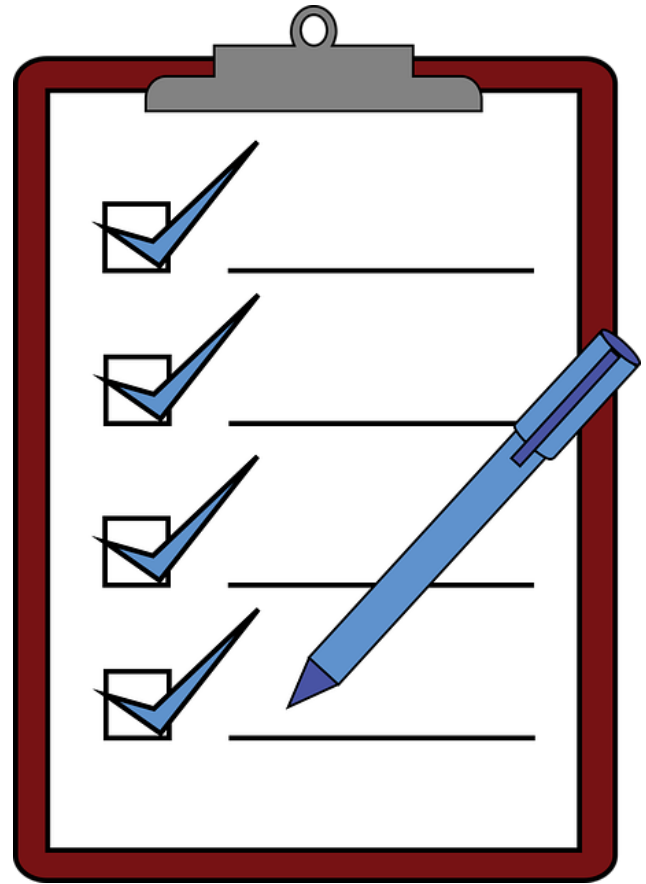
Returning the vehicle after use:

- ☐ Remove and discard all refuse from vehicle
- ☐ Check that there are no active "check engine" lights on
- ☐ Return vehicle registration, gas card and keys to your on-site vehicle documents lock box or safe
- ☐ Complete "Vehicle Return Report" form
- ☐ Submit any parking violations to the Vehicle Fleet department

From an Intake Policy and Procedure manual:

Forms Completion

- ☐ Review and sign Confidentiality Agreement
- ☐ List required assessments
- ☐ Complete "Medical Inventory" form
- ☐ Obtain signed "Consent for Treatment" form



Appendix E: Checklist for Checklists- Atul Gawande, 2011

Use this comprehensive tool to ensure you have everything you need to create, implement and maintain your policies:

Development	Drafting	Validation
☐ Do you have clear, concise objectives for your checklist? Is each item: ☐ A critical safety step and in great danger of being missed? ☐ Not adequately checked by other mechanisms? ☐ Actionable, with a specific response required for each item? ☐ Designed to be read aloud as a verbal check? ☐ One that can be affected by the use of a checklist? Have you considered: ☐ Adding items that will improve communication among team members? ☐ Involving all members of the team in the checklist creation process	Does the Checklist: ☐ Utilize natural breaks in workflow (pause points)? ☐ Use simple sentence structure and basic language? ☐ Have a title that reflects its objectives? ☐ Have a simple, uncluttered, and logical format? ☐ Fit on one page? ☐ Minimize the use of color? Is the font: ☐ Sans Serif? ☐ Upper and lower case text? ☐ Large enough to be read easily? ☐ Dark on a light background? ☐ Are there fewer than 10 items per pause point? ☐ Is the date of creation (or revision) clearly marked?	Have you: ☐ Tried the checklist with front line users (either in a real or simulated situation)? ☐ Modified the checklist in response to repeated trials? ☐ Does the checklist: ☐ Fit the flow of work? ☐ Detect errors at a time when they can still be corrected? ☐ Can the checklist be completed in a reasonably brief period of time? ☐ Have you made plans for future review and revision of the checklist?



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Note: Highlighted items in this table of Contents may also be kept separately in a Human Resources Policy and Procedure Manual.

Note: This Table of Contents is for example only and is not exhaustive. It is used as an example of Program, Human Resource, Safety and Compliance policies.