

# Putting Policies and Procedures into Place: Where to Begin

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DIRECTOR OF SYSTEMS TRANSFORMATION  
NYAPRS  
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# Introduction & Housekeeping

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## Housekeeping:

- Slides are posted at [MCTAC.org](https://mctac.org)
- Questions not addressed today will be:
  - Reviewed and incorporated into future trainings and presentations
  - Added to Q&A resources when possible
- Feedback forms

**Reminder: Information and timelines are current as of the date of the presentation**

# What is MCTAC?

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MCTAC is a training, consultation, and educational resource center that offers resources to *all mental health and substance use disorder providers in New York State*.

## MCTAC's Goal

Provide training and intensive support on quality improvement strategies, including business, organizational and clinical practices to achieve the overall goal of preparing and assisting providers with the transition to Medicaid Managed Care.



**McSILVER INSTITUTE**  
FOR POVERTY POLICY AND RESEARCH



The National Center on  
Addiction and Substance Abuse

## CTAC & MCTAC Partners



*People Get Better With Us*



# Small Business Initiative Partners



# What is the Small Business Initiative?

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## Goal:

- To assess, inform and educate providers who have little or no experience billing Medicaid on the essentials necessary for Managed Care readiness.
- This webinar is provided by MCTAC and the SBI partners at ASAP, NYAPRS, The Coalition and Families Together.

For more information or with questions about the Small Business Initiative please contact Daniella Labate at [daniellal@nyaprs.org](mailto:daniellal@nyaprs.org).

# About Our Presenter

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Edye Schwartz is a licensed social worker and received her Master's degree in Social Work from Hunter School of Social Work and her Doctorate from City University Graduate Center. Dr. Schwartz has a long history in the field of mental health in New York State, and is a strong proponent of the recovery movement. She has worked as a provider to advance recovery-based approaches to service provision most recently as Executive Director of Putnam Family and Community Services (PFCS), a community behavioral health center in Putnam County, one hour north of NYC. During her tenure PFCS became an agency focused on recovery, providing services that nurtured recipients and creating an atmosphere where people could feel empowered to control the outcomes of their treatment and the course of their lives.

Dr. Schwartz has been involved with the New York Association of Psychiatric Rehabilitation Services (NYAPRS) for many years, serving as a member of the Board of Directors and as its president. In 2010, Edye joined the NYAPRS team as the Director of System's Transformation and currently provides technical assistance and training both locally and nationally on a variety of issues including transforming to a recovery based service system, the impact of health care reform and managed care, integrating behavioral and physical health systems, leadership and excellence in administration and management practices. Dr. Schwartz has taught at Lehman College and Hunter School of Social Work on leadership and management, recovery based mental health services and psychiatric rehabilitation. In addition, she has presented workshops and keynotes nationwide.

# Why Do I Need Policies?

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Policies provide a framework to help make sound, safe and legal decisions for the board, management and staff.

In a nonprofit organization, it is the responsibility of the board of directors to adopt and amend all policies for the organization.







What Policies  
Should My  
Nonprofit Have?

# Governance Policies

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*While not required by the IRS, every nonprofit should consider adopting governance policies*

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



# Board of Directors Policy

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



# Corporate Compliance

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



# HIPAA

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Health Insurance Portability and Accountability Act provides data privacy and security provisions for safeguarding medical information.

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



# Employee Manuals-HR Policies

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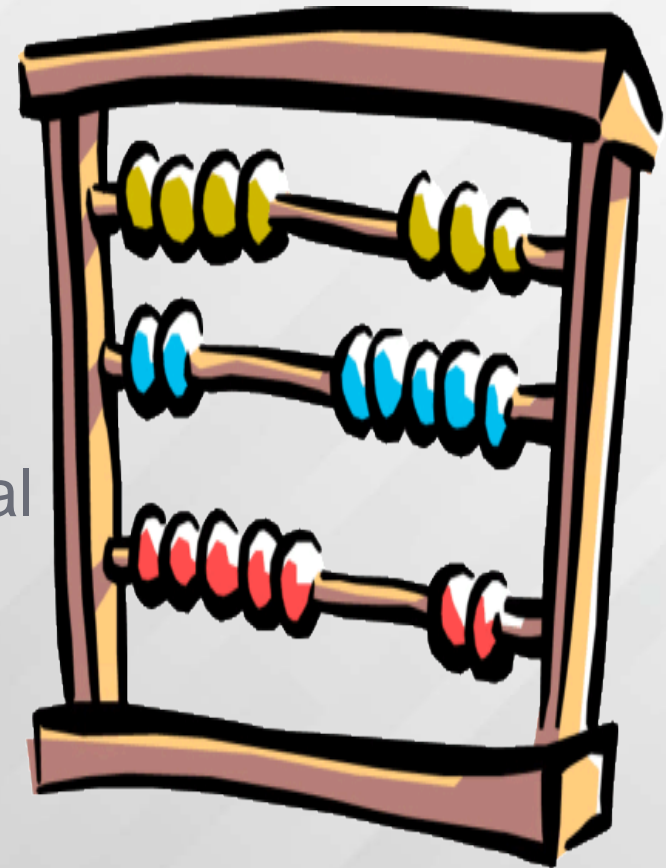
- ▶ Confidentiality
- ▶ Job Descriptions and Performance Evaluations
- ▶ Internet Usage, Media and Social Media Policy
- ▶ Disaster Planning and Recovery Plan
- ▶ Employee Standards, Benefits , Equal Hiring Practices
- ▶ Drug/Alcohol Policy
- ▶ Travel and Reimbursement
- ▶ Employee Disciplinary info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



# Accounting/Finance Policies

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



# Safety Policies

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





# Program Policies

Unlicensed Programs  
Licensed Programs  
HCBS  
Other



**POLICIES & PROCEDURES**

# Where to Start?





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THE BEST WAY  
TO GET SOMETHING  
DONE IS TO BEGIN.

[thingsweforget.blogspot.com](http://thingsweforget.blogspot.com)



# Resources

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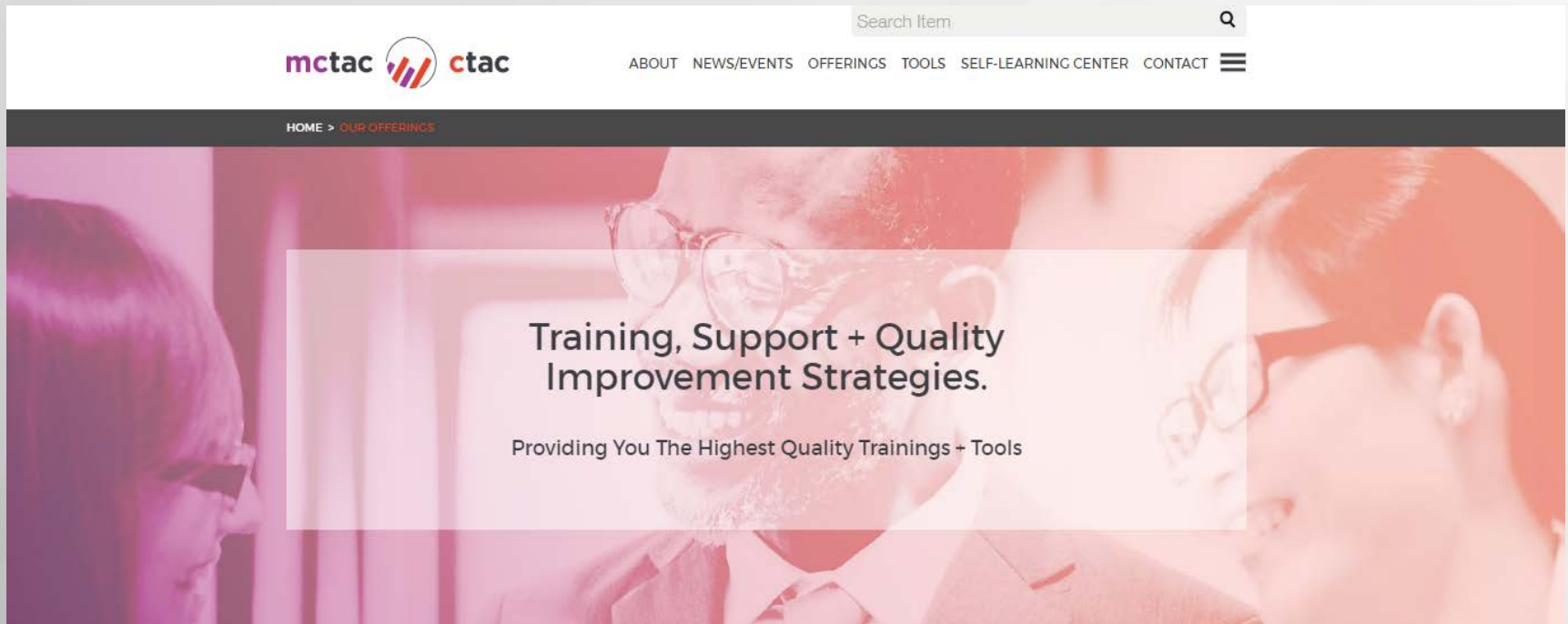
- ▶ **BoardSource** focuses on building effective nonprofit boards and they offer a large collection of downloadable policy samples at a nominal cost.
- ▶ **The National Council of Nonprofits** offers sample policies in many of these areas.
- ▶ **The Nonprofit Resource Center** focuses on services for nonprofits in the Sacramento, CA region, but they also offer excellent sample policies that can be a resource to all nonprofits.

# MCTAC Can Help!

Contact  
the Small  
Business  
Initiative  
(SBI) at  
MCTAC

- ▶ Edye Schwartz, NYAPRS,  
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# Questions and Discussion



Please email additional questions to [mctac.info@nyu.edu](mailto:mctac.info@nyu.edu) and register for future events at <http://www.mctac.org> under "Upcoming Events."