



## Policy Development Process

### A. Difference between a Policy and a Procedure

**Policy:** A policy is a documented set of basic principles and associated rules that guide decisions and achieve designated outcomes.

**Procedure:** A procedure is a step-by-step set of instructions, detailing how to perform a task.

### B. Purpose of Policies and Procedures

Policies and procedures provide a guide for meeting organizational objectives and describe the steps that employees are to take when creating a product or delivering a service. Carefully considered and correctly implemented policies and procedures:

- Lead to more efficient operations;
- Reduce the risk of errors;
- Build a mutual understanding of expectation and challenges;
- Provide accountability, while ensuring transparency;
- Offer clarity and consistency;
- Ensure adherence to civil and canon law.

### C. What Makes a Good Policy?

Policies are most effective as official written documents. While the policies of each organization vary in form depending on the organization's size, industry, and complexity of operations, policy documents generally contain certain standard components:

<b>Purpose:</b>	Outlines the reason for and the desired effect or outcome of the policy
<b>Background:</b>	Historical information that provides justification for the creation of the policy
<b>Specifics:</b>	Departments and/or people that are impacted Required organizational behaviour Processes Regulations, both internal and external
<b>Definitions:</b>	Clear explanations for key terms and concepts
<b>Implementation:</b>	The person responsible for carrying out the individual policy How policy adherence will be ensured
<b>Effective Date:</b>	Date at which the policy is considered in force Archbishop's signature is to accompany the stated effective date
<b>References:</b>	To other documents or applicable laws and regulations



**Forms:** Relevant to the processes outlined such as agreements, applications, contracts, etc., client information forms or other documents.

## **D. Archdiocesan Policy Administration**

The administration of Archdiocesan Policy is part of the portfolio of the Internal Audit Department. The responsibilities include:

1. To review current policy to ensure that it is up-to-date;
2. To identify policy gaps;
3. To assemble information and provide analyses for the development of new policy;
4. To act as a central information source by maintaining and distributing policies, procedures and forms;
5. To guide the process of creating and revising policies.

During an internal audit of a parish or office of the John Paul II Pastoral Centre, the processes and procedures of the audited subject are evaluated against current policy. Internal Audit does not authorize or enforce policy.

## **E. From Idea to Approved Policy**

### **1. Initiation**

The need for a new or revised policy can be identified by any Archdiocesan employee or committee. Once the need is identified, and it has been determined whether this is to be a new policy or the revision of an existing policy, it is to be presented to the director responsible for the office that will be affected the policy.

The director, in turn, is to discuss the proposal with his or her delegate/vicar.

### **2. Draft**

If the director and delegate/vicar agree that a new or revised policy is warranted, it is the director's responsibility to have a draft policy prepared for review. Depending on the complexity of the policy, the director could assign the task to the initiating employee or form a committee for a more thorough review.

### **3. Format and Filing**

Once the policy draft is complete, it is to be forwarded to the Policy Administrator who will:

- Verify that the policy is either a new policy or a revision;
- Format the policy document, using the official template;



- Determine the appropriate section and subsection<sup>1</sup>;
- Add the name of the policy draft to the Policy Control spreadsheet, filling in the required information and indicating the status as “Approval Pending”; and
- Forward the policy draft (and the policy the draft is replacing if applicable) to the Archbishop or to the office of someone with executive authority.

#### **4. Consultation**

The type of policy and degree of complexity will dictate the level of consultation with any advisory staff or committees that will be required prior to approving or rejecting proposed policy.

#### **5. Presentation**

All proposed policies that are not limited to a particular department or agency need to be presented to a consultative body or bodies, such as the Presbyteral Council, Archdiocesan Finance Council and/or College of Consultors.

#### **6. Approval or Not**

After considering all evidence, the Archbishop will decide whether or not to approve the policy. Only the Archbishop approves policies and procedures intended to apply to the entire Pastoral Centre or to the Archdiocese. The only exceptions to this rule are routine office procedures and special decrees issued by vicars that clarify the manner in which Archdiocesan laws are observed, or to urge their observance.

#### **7. Circulation**

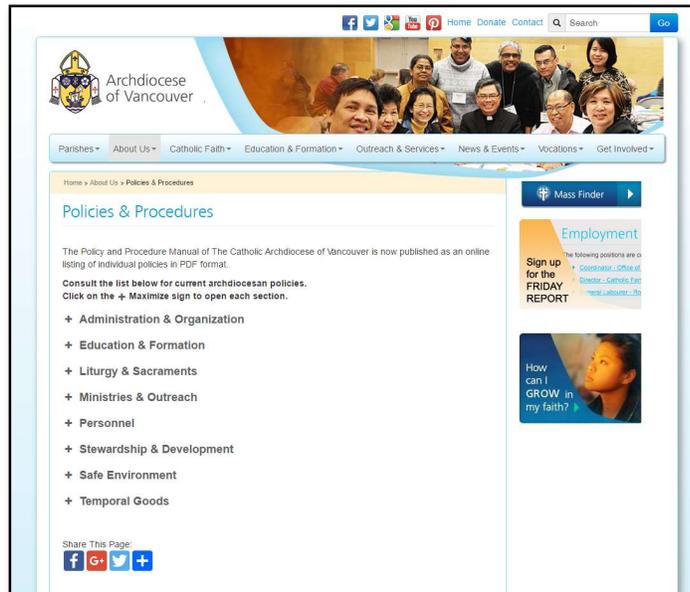
The Policy Administrator will be responsible for ensuring that the newly approved policy is placed into circulation and if applicable, the superseded policy is removed from circulation.

##### **Placing into Circulation**

- The policy is sent to the Communications Department to be emailed to the appropriate personnel.
- The webmaster is advised that the policy needs to be uploaded to the appropriate section of the Policies & Procedures webpage on the Archdiocesan website [www.rcav.org](http://www.rcav.org).

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<sup>1</sup> Sections and subsections are limited to an approved list.



## Removing from Circulation

Abrogated and superseded are to be removed from the website and retained in perpetuity as an historical record, both electronically and in paper, as directed in section 10 below.

## 8. Enforcement

In the Archdiocese, policies are enforced at the department level at which the policy applies.

## 9. Administration Procedures

All policies are filed both electronically and in paper files. The following steps are required to ensure that new policies and superseded policies (if applicable) are filed properly.

### New Policies

- File the official electronic version<sup>2</sup> of the policy in the “In Effect” folder in the Policy directory located on the server Departmental\_Shared (\\RCAV-FS01). Policies are filed by their official name and the effective date in the following format: YYYY-##MMM-DD.
- Print a copy of the policy and place the document in a **green** folder labeled with the policy name and the effective date. File the folder alphabetically in the Policy cabinet located in the Office of the Internal Auditor.
- Change the status of the new policy on the Policy Control spreadsheet from “Approval Pending” to “In effect”.

<sup>2</sup> The official electronic version contains the Archbishop’s signature.



### Superseded Policies

- a. Once the revision draft is approved, the current policy is superseded and is no longer effective. From the policy cabinet, remove the **green** folder containing all the back-up documentation of the newly superseded policy. Set the documentation aside.
- b. Revise and move the official electronic version of the newly superseded policy:
  - i. Add “SUPERSEDED” in **red** to the header;



- ii. Indicate the name of the superseding policy in **red** at the bottom of the last page of the current policy.

**Superseding Policy**  
 [Name-of-Policy·Revision] issued on [Date].

- iii. Save the revised electronic file and move it from the “In Effect” folder to the “Superseded” folder.
- c. Print a copy of the newly revised superseded policy and place the document in a **red** folder labeled with the name of the policy, the effective date and the superseded date. Add the back-up documentation that was set aside in step (a) to the folder. File the folder alphabetically in the Policy cabinet located in the Office of the Internal Auditor.
- d. Change the status of the superseded policy on the Policy Control spreadsheet to “Superseded” and indicate the name of the superseding policy and the date it became effective.

### Abrogated Policies

- a. When a policy is abrogated, it is no longer effective. From the policy cabinet, remove the green folder containing all the back-up documentation of the newly abrogated policy. Set the documentation aside.
- b. Revise and move the official electronic version of the newly abrogated policy:
  - i. Add “ABROGATED” in **red** to the header;



- ii. Save the revised electronic file and move it from the “In Effect” folder to the “Abrogated” folder.



- c. Print a copy of the newly revised abrogated policy and place the document in a **red** folder labeled with the name of the policy, the effective date and the abrogated date. Add the back-up documentation that was set aside in step (a) to the folder. File the folder alphabetically in the Policy cabinet located in the Office of the Internal Auditor.
- d. Change the status of the abrogated policy on the Policy Control spreadsheet to “Abrogated” and indicate the date it was abrogated.

**Approved: 2017-September-29**  
**Feast of St. Michael, St. Gabriel and**  
**St. Raphael**

*+ J. Michael Miller CSB*

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