**PimaCountyCommunityCollegeDistrict
Administrative Procedure**

AP Title:	**Development and Revision of Standard Operating Procedures (SOPs)**
AP Number:	AP 1.01.03
Adoption Date:	6/9/21
Schedule for Review & Update:	Every three years
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Sponsoring Unit/Department:	Office of the General Counsel
Policy Title(s) & No(s).	Prime Policy, BP 1.01
Legal Reference:	
Cross Reference:	Prime Policy, BP 1.01; Development of Board Policies and Administrative Procedures, AP 1.01.01; Development and Revision Process for Board Policies and Administrative Procedures, AP 1.01.02; Personnel Governance and Policy for College Employees, AP 1.25.01

PURPOSE & SCOPE

A Standard Operating Procedure ("SOP") is an optional uniform set of published processes, instructions, or guidelines that explain how a Responsible Department performs the duties and responsibilities delegated to it and to ensure that those duties and responsibilities are performed effectively, efficiently, and consistently. SOPs may also inform Students, Employees, and others members of the College Community about their rights and responsibilities pursuant to the College's Administrative Procedures ("APs"), as well as how various College offices and

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departments conduct particular College functions.

SOPs implement College policies; they do not create them. Except where specifically provided in a Board Policy or AP, tThey do not create new, or substantively alter existing, Board Policies ("BPs") or APs or the rights and responsibilities of the College, its Students and Employees, or other members of the College Community.

SOPs may include, but are not limited to, instructions, manuals, checklists, and certain handbooks and/or codes of conduct. Where rights, responsibilities, or processes are delegated to an SOP, the AP should identify the SOPs. SOP links shall be kept current as part of AP maintenance.

The purpose of this AP is to provide a framework for the development and revision of SOPs that balances the value of input to inform decision-making, respect for the authority of individuals accountable for specific functions, and the importance of timely, responsive decision-making. This AP is not intended to diminish responsibility for decision-making by those charged with administering specific College functions.

SECTION 1: Responsibility

The Lead Administrator of the Sponsoring Unit with delegated responsibility for a specific function, such as by a particular AP, is responsible for developing, administering, and conducting periodic reviews and, if necessary, revisions of any SOPs generated to implement that responsibility. Lead Administrators may delegate responsibility to a designee unless delegation is not permitted pursuant to the corresponding AP or elsewhere in College policy.

SECTION 2: Development

2.1   Not all APs or delegated responsibilities require the development of SOPs. Unless the development and implementation of a particular SOP is required by a BP or AP, the Lead Administrator of an AP's Sponsoring Unit has discretion about whether to develop an SOP.

2.2   Unless particular development processes are specified elsewhere in applicable College policy (See *e.g.*, AP 1.25.01 (specifying role of AERC in the creation or modification of the Employee Handbook)), Lead Administrators may determine the most effective process for developing SOPs.

2.3 When an SOP is expected to (a) impact the operations of another Responsible Department or other College unit, or (b) apply to a significant number of the College Community outside of the Responsible Unit, the Department developing the SOP shall include in the development process a method(s) for seeking input from those outside of the Responsible Unit who will be impacted by the SOP. Development of an SOP that provides direction only to members of a particular operational unit should include input from that unit, and may involve broader input if the Lead Administrator determines such input would be useful. The method(s) and extent of input sought should correlate to the anticipated degree of impact from the SOP (*i.e.*, an SOP expected to broadly impact the College community in a significant or frequent manner should be informed by a greater level of input than an SOP expected to impact only a few individuals or only occasionally).

2.4 The Department or Unit developing an SOP shall maintain a record of the development process used.

2.5 Because SOPs implement or explain existing College policies and procedures, they are not subject to the same "notice and comment" requirements as BPs and APs, and they do not require notice to or a vote by the College's Governing Board.

SECTION 3: Organization & Numbering

SOPs shall be organized by the Responsible Department and numbered sequentially according to their effective dates. When applicable, the format should also include reference to a related AP. For example: "[*Responsible Department's Name or Abbreviation*] SOP [*related AP's number*]-[*SOP's number in sequence of associated SOPs*]" (*e.g.*, "ESC SOP 2.02.01-1" or "Facilities SOP 2.05.01-6" or "Registrar SOP 3.11.01-3").

SECTION 4: Standard Contents & Format

4.1 Although SOPs may vary depending on their purpose (*e.g.*, a checklist versus a code of conduct), it is generally recommended that all SOPs be formatted as follows and include the following items of information:

- **Number:** The SOP's number in accordance with the numbering convention described in Section 3 above;

- **Name:** A title for the SOP that is generally descriptive of its purpose;

- **Responsibility:** The Responsible Department and/or the Lead Administrator with responsibility for the SOP;

- **Authority:** The AP under which the SOP is created and (if applicable) the source of any delegated authority (*e.g.*, the Chancellor, the Provost, a Vice Chancellor, a President or Vice President, *etc*.);

- **References:** Citation to related APs and to related SOPs of other units if necessary to assist in implementing;

- **Purpose/Objective:** The process(es) or requirement(s) the SOP is intended to explain and/or the goal(s) the SOP is intended to achieve;

- **Approval & Effective Date:** An "approved by" statement from the Lead Administrator and the date when the SOP went into effect;

- **Process**: The specific instructions explaining how to perform or comply with one or more requirements of the AP or the function managed by the Department, including, but not limited to, how any decisions will be made and by whom;

- **Contingencies:** What will or may happen if the SOP is not or cannot be followed (*e.g.*, who needs to be notified, possible consequences);

- **Review & Revision**: When, how, and by whom the SOP will be reviewed and, if necessary, revised, as well as the date the SOP was last reviewed (even if no revisions were made);

- **Documentation & Attachments:** Forms to be used in accordance with the SOP (if any) and/or the location where any SOP-related forms may be obtained;

- **Distribution:** To whom and how the SOP should be distributed (*e.g.*, all Employees within the Responsible Department via email), as well as where and how the SOP will be published or otherwise made available to the College Community;

- **Definitions**: Defined terms, including any acronyms, that individuals

using the SOP would not generally know, for which the term's common dictionary definition may not necessarily be applicable (in whole or in part), and/or for which a misunderstanding about or different definition of the term could materially affect the application of the SOP. In the interest of clarity, the College recommends, but generally does not require, that defined terms be capitalized and/or printed in bold type throughout the SOP.

4.2   All SOPs should be written in a consistent, standard font, include page numbers, and (when appropriate) incorporate section and subsection headings that follow the same numbering format as APs (*e.g.*, Section 1, 1.1, 1.1.1; Section 2, 2.1, 2.2, 2.2.1; *etc.*).

SECTION 5: Publication & Distribution

5.1   The Responsible Unit shall make SOPs readily accessible to their intended audience and as widely accessible as possible, based on the subject matter of the SOP, range of individuals impacted, and any confidentiality concerns. Typically, publication options will be:
- Website (broad number of employees and/or students and/or community members impacted)
- Intranet (impacts employees only)
- Internal to unit only (small number of users in the unit and/or confidentiality concerns)

5.2   The Lead Administrator of an SOP's Responsible Department is responsible for ensuring that the SOP is properly published, available, and accessible, and that appropriate parties (*e.g.*, Employees performing work pursuant to the SOP, members of the College Community directly and substantially affected by it) are notified when the SOP is revised.

SECTION 6: Authority & Effect

6.1   Once approved by the authorized Lead Administrator, an SOP carries the same authority as any College policy, procedure, or directive.

6.2   To the extent an SOP or a portion of an SOP might conflict with a BP or AP, the BP or AP shall be the controlling authority. Potential conflicts between SOPs and BPs and APs, or with other SOPs, may be reported through the "Complaints" provision of this AP (see Section 8 below).

SECTION 7: Revisions & Suggested Changes

7.1   SOPs may be revised at any time, with or without prior notice. Substantive revision of an existing SOP shall follow the same process steps as for developing a new SOP (see Section 2).

7.2   SOPs should be reviewed regularly by their Responsible Departments, including, but not limited to, during the regularly recurring notice-and-comment period for the AP with which the SOP is associated. SOPs that are outdated or no longer necessary should be promptly revised or withdrawn. SOPs should be reviewed at least every three years.

7.3   Anyone may suggest revisions to any SOP, the creation of a new SOP, or the deletion of an existing SOP. Suggestions provided during the notice-and-comment period for its associated AP in accordance with AP 1.01.02 are particularly helpful. Suggested revisions to SOPs or proposals for new SOPs should be submitted to the designated Lead Administrator.

SECTION 8: Complaints

8.1   Concerns or complaints about a particular SOP (*e.g.*, that it exceeds the purpose and scope of a specific AP; that it conflicts with another policy or procedure) may be submitted in writing to the SOP's Lead administrator. Complaints should specify the SOP in question and include a description of the issue as well as any desired resolution. Lead Administrators or their designees should provide a substantive response to complaints in a timely manner, generally within ten (10) business days, although the ultimate resolution of a complaint may take additional time.

8.2   If, after making a reasonable attempt to resolve a complaint with the Lead Administrator, the issue has not been resolved to the complainant's satisfaction, the complainant may escalate a complaint about an SOP to the Office of the General Counsel for further assistance. The General Counsel's Office will not issue a decision itself but will work with the complainant and the Lead Administrator, as well as any other relevant decision-makers, to clarify and address the matter(s) at issue in the complaint.

SECTION 9: Definitions

"AP" means Administrative Procedure.

"BP" means Board Policy.

"College" means Pima Community College or the Pima County Community College District.

"College Community" means, collectively, all persons employed by, volunteering for, enrolled in classes at, or visiting the College, attending any College-sponsored activity, or otherwise having an interest in the functioning and operation of the College.

"Employee" means any person employed by the College on a full-time, part-time, temporary, or regular basis or directly engaged in the performance of work under the direct supervision of the College. This definition does not include independent contractors or unpaid volunteers.

"Lead Administrator," unless specified otherwise in an SOP, means the highest-level College Employee with administrative authority over the Sponsoring Unit for the SOP, or that Employee's designee.

"Responsible Department" means the College office, division, or working group responsible for carrying out the function(s) that are or become the subject of an SOP. A Responsible Department will generally be a constituent part of an AP's Sponsoring Unit or the Unit with oversight for that Responsible Department (*e.g.*, the Provost is the Sponsoring Unit, and the Registrar is the Responsible Department).

"SOP" means Standard Operating Procedure. An SOP provides specific guidance to implement an AP. (*e.g.* The Curriculum Procedures Manual and the Discipline Faculty Committee Handbook are examples of SOPs that implement AP 3.25.03 College Curriculum Council and AP 3.25.08 College Discipline Area Committee which in turn implement BP 3.25 Curriculum). The Travel Manual is an SOP to implement AP 4.06.01 delegating authority to the Chief Financial Officer. The Capital Assets Procedure Manual is an SOP implementing AP 8.01.01 that delegates to the Vice Chancellor for Facilities responsibility for management of the College's property and equipment.

"Sponsoring Unit" means the College administrative unit (*e.g.*, Facilities, Finance, Provost, *etc*.) with primary responsibility for the function that is the subject of the SOP (*i.e.*, the "*Sponsoring Unit/Department*" in an AP's caption).

"Student" means any person who applies for admission to or is currently registered

for or enrolled in courses at the College on a full-time, part-time, or clock-hour basis, as well as any person currently registered for or participating in continuing education, workforce development, adult basic education, or developmental education classes through the College.

"Substantive revision" means a significant modification to the purpose, scope, roles and responsibilities, or processes addressed by the SOP.