



Pima County Community College District Administrative Procedure

<u>AP Title:</u>	<u>Development and Revision of Standard Operating Procedures (SOPs)</u>
<u>AP Number:</u>	<u>AP 1.01.03</u>
<u>Adoption Date:</u>	<u>XX/XX/20</u>
<u>Schedule for Review & Update:</u>	<u>Every three years</u>
<u>Review Date(s):</u>	<u>XX/XX/XX</u>
<u>Revision Date(s):</u>	<u>XX/XX/XX</u>
<u>Sponsoring Unit/Department:</u>	<u>Office of the General Counsel</u>
<u>Policy Title(s) & No(s).</u>	<u>Prime Policy, BP 1.01</u>
<u>Legal Reference:</u>	
<u>Cross Reference:</u>	<u>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</u>

SECTION 1: Purpose & Scope

- 1.1 A Standard Operating Procedure (“SOP”) is a uniform set of published instructions or guidelines that explains how to implement, or further defines, one or more requirements of a particular Administrative Procedure (“AP”).
- 1.2 The primary purpose of an SOP is to guide Responsible Departments as they perform the duties and responsibilities delegated to them pursuant to specific APs and to ensure that those duties and responsibilities are performed effectively, efficiently, and consistently. SOPs also help Students, Employees, and others members of the College Community understand their

rights and responsibilities pursuant to the College’s APs, as well as how various College offices and departments conduct particular College functions.

- 1.3 SOPs only implement and/or further define College policies; they do not create them. They do not create new, or substantively alter existing, rights and responsibilities of the College, its Students and Employees, or other members of the College Community.
- 1.4 SOPs may include, but are not limited to, instructions, manuals, checklists, handbooks, and codes of conduct.

SECTION 2: Responsibility

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

SECTION 3: Development

- 3.1 Not all APs require the development of SOPs. Whether an SOP is necessary or warranted is at the discretion of the Lead Administrator of an AP’s Sponsoring Unit.
- 3.2 Lead Administrators may develop SOPs in any manner they deem appropriate, including unilaterally, although it is recommended that they seek input and collaboration from other units when appropriate.
- 3.3 Because SOPs only 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 4: Organization & Numbering

SOPs shall be organized by Responsible Department and numbered sequentially according to their effective dates using the following numbering format: “[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 5: Standard Contents & Format

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

- **Number:** The SOP’s number in accordance with the numbering convention described in Section 4 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.);
- **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, 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.

5.2 All SOPs should be written in a 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 6: Publication & Distribution

- 6.1 Unless otherwise prohibited by or contrary to College policy, all SOPs should be publicly available and readily accessible, including, but not limited to, by publication in a common location on the College's website.
- 6.2 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 7: Authority & Effect

Once approved by the authorized Lead Administrator, an SOP becomes effectively a directive from that Lead Administrator and carries the same authority as any College policy, procedure, or authoritative directive. Failure to comply with the requirements or to follow the processes of any SOP may carry the same consequences as failure to comply with any College policy, procedure, or authorized directive.

SECTION 8: Revisions & Suggested Changes

- 8.1 SOPs are not subject to the same notice-and-comment process utilized for the creation and substantive revision of College BPs and APs, and they may be revised at any time, with or without prior notice.
- 8.2 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.
- 8.3 Anyone may suggest revisions to any SOP, the creation of a new SOP, or the deletion of an existing SOP during the notice-and-comment period for its associated AP in accordance with AP 1.01.02.

SECTION 9: Complaints

- 9.1 Although the substantive content of an SOP is generally at the discretion of its Lead Administrator (or designee), complaints that a particular SOP exceeds the purpose and scope of this AP (i.e., that the SOP creates new or substantively alters existing rights and responsibilities) (see Section 1 above), or complaints about the interpretation or implementation of this AP, may be submitted in writing to the College’s Office of the General Counsel (legal@pima.edu). Complaints should specify the SOP in question and include a description of the nature of the issue as well as any desired resolution.
- 9.2 Individuals taking issue with a particular SOP are strongly encouraged to contact the SOP’s Lead Administrator with their concerns prior to submitting a complaint pursuant to this AP.

SECTION 10: 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 specified in the SOP’s respective AP, or that Employee’s designee.

“Responsible Department” means the College office, division, or working group responsible for carrying out one or more directives or duties specified by an AP. A Responsible Department will generally be a constituent part of an AP’s Sponsoring Unit (e.g., the Provost is the Sponsoring Unit, and the Registrar is the Responsible Department).

“SOP” means Standard Operating Procedure.

“Sponsoring Unit” means the College administrative unit (e.g., Facilities, Finance, Provost, etc.) specified by an AP as being primarily responsible for the AP’s development, implementation, and periodic review and revision (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.