

College of Agriculture and Life Sciences (CALS)

Business Operations

Creation, Maintenance, and Use of CALS Business
Operations Standard Operating Procedures

Standard Operating Procedure



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CBO-Admin-101	Creation, Maintenance and Utilization of CALS Business Operations Standard Operating Procedures		
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1. PURPOSE

- 1.1. This SOP describes the roles, responsibilities, and process by which the College creates, maintains and utilizes its CALS Business Operations (CBO) SOPs.
 1. The CBO provides centralized business and research administration support services for all College departments and units.
 2. To promote clarity and compliance among all employees in the College, the CBO creates and maintains Standard Operating Procedures (SOPs) that define the roles, responsibilities, and procedures for each of the College's major business functions.

2. CBO GUIDELINES

- 2.1. For each of the College's major business functions, a Subject Matter Expert (SME), shall be designated within the CBO.
- 2.2. The SME is responsible to create and maintain the CBO SOPs within their area of expertise and in compliance with this SOP.
- 2.3. At least once annually or whenever University, state, or federal requirements change, the SME will review the SOPs within their purview to determine whether revision is needed.
- 2.4. With limited exception, the Dean, Directors, and College departments and units will have 30 days to review proposed SOPs and provide comments. Exceptions include technical changes that do not substantively change roles and responsibilities and statutory mandates requiring immediate College action.
- 2.5. The SME will give reasonable consideration to feedback and comments provided and incorporate them, as appropriate, into the final SOP.
- 2.6. The Assistant Dean for Business Operations will review and sign off on all SOPs prior to publication.
- 2.7. All CBO SOPs will be published on the CALS CBO Intranet.
- 2.8. All CALS employees are responsible to be knowledgeable of and to follow the CBO SOPs within which they have a role and responsibility.

3. ASSOCIATED SYSTEMS/FORMS

3.1. Systems

1. CALS CBO Intranet: <https://cals.ncsu.edu/intranet/cals-business-operations/>

3.2. Forms

1. SOP Template: <https://drive.google.com/drive/u/0/search?ogsrc=32&q=SOP%20Template>

4. ROLES AND RESPONSIBILITIES

Relevant Parties	Roles and Responsibilities
<i>Department</i>	
Department/Unit Head	Review and provide comments regarding proposed new or revised CBO SOPs within the 30-day review period. Ensure employees are aware of the SOPs and respective roles and responsibilities.
Business Points of Contact (POCs)	Responsible for supporting the Department/Unit Head in the collection of feedback from the departments/units.
<i>CALS Business Operations</i>	
Assistant Dean for Business Operations	Responsible for review and approval of the SOP before submitting to the Deans, Directors, and Department/Unit Heads for their review. Responsible for final review and approval of SOP.
Subject Matter Expert (SME)	Responsible for monitoring and maintaining full knowledge of federal, state, and University rules, regulations, policies, and procedures relative to area of expertise. Responsible for creating and maintaining applicable CBO SOPs. Responsible for engaging key stakeholders in the creation and development of SOPs and getting feedback from their CBO Director and the Assistant Dean for Business Operations.
CBO Directors	Responsible for initial review and approval of SOPs created or revised by SMEs within their unit.
CBO Communications Manager	Responsible for the maintenance of CBO SOPs on the CALS CBO Intranet.
<i>College</i>	
Dean and Directors	Review and provide comments regarding proposed new or revised CBO SOPs within the 30-day review period.

5. PROCEDURE

5.1. Creating a New or Revising an Existing SOP that Changes Roles and Responsibilities

1. The SME identifies the business function for which development or revision of an SOP is required.
2. The SME will then create a focus group of key stakeholders, including both department and CBO individuals who perform the business functions discussed in the SOP, to create or revise the SOP using the standard CBO SOP template and structure outlined below.
3. Once a draft has been created, the SME will begin the review process.
 - a) The SME will contact their CBO Director to review and approve the proposed new or revised SOP.
 - b) Upon approval, the SME will then send the new or revised SOP to the Assistant Dean for Business Operations with a cc to their CBO Director.
 - c) The Assistant Dean for Business Operations reviews the SOP draft and either approves or provides feedback on the SOP.
 - If providing feedback, the Assistant Dean for Business Operations will return the SOP to the SME with comments for additional revision.
 - d) Once there is a final draft, the Assistant Dean for Business Operations will then send the proposed new or revised SOP to the Deans, Directors, and Department/Unit Heads with a cc to the Business POCs for their review.
 - Deans, Directors, Department/Unit Heads, and Business POCs have 30 days to review and provide written comments on the draft to the Assistant Dean for Business Operations. The Deans, Directors, and Department/Unit Heads will then submit comments and feedback to the Assistant Dean for Business Operations (this cannot be delegated).
 - The Assistant Dean for Business Operations will provide comments to the SME who will review the comments submitted and make final revisions to the SOP, as appropriate. Once revisions have been made, the SME will submit the updated draft to the Assistant Dean for Business Operations.
4. The Assistant Dean for Business Operations reviews the final SOP and either approves or provides additional feedback on the SOP.
 - a) If there is additional feedback, the Assistant Dean for Business Operations will return the SOP to the SME with comments for additional revision.
 - b) If approved, the Assistant Dean for Business Operations will transmit it to the CBO Communications Manager for publication and distribution, with a courtesy copy to the SME.
5. The CBO Communications Manager, upon receiving notice of a finalized SOP, shall publish the SOP to the CALS CBO Intranet with electronic copies sent to the Dean, Directors, Department/Unit Heads, and Business POCs.

5.2. Technical Corrections to Existing SOPs that Don't Substantively Alter Roles and Responsibilities

1. Occasionally updates must be made to existing SOPs that are either technical corrections or clarifications to pre-existing procedures, but which don't substantively alter roles and responsibilities. In these instances, the following procedure is followed:
 - a) The SME will draft the revised SOP and submit it to the Assistant Dean for Business Operations for review and approval.
 - b) The SOP will take immediate effect for the College.
 - c) The SOP will be published to the CALS CBO Intranet and notice given in the CALS Weekly Bulletin email distributed to all CALS employees.

5.3. External Mandates that Prompt the Creation of or Revision to an Existing SOP

1. Regulatory changes or an audit at the University, UNC System, state or federal levels may require the College to create a new or revise an existing SOP promptly. In these instances, the following procedure is followed:
 - a) The Assistant Dean for Business Operations will assess and determine the immediacy of the need on behalf of the College.
 - b) The SME will draft a new or revised SOP and submit it to the Assistant Dean for Business Operations for review and approval.
 - c) The SOP will take immediate effect for the College.
 - d) The SOP will be published to the CALS CBO Intranet with electronic copies sent to the Dean, Directors, Department/Unit Heads, and Business POCs.

5.4. Standard Structure and Sections to Be Used within an SOP

1. Table of Contents
 - a) Provides a table of contents with associated page numbers and hyperlinks to each of the major sections of the SOP.
2. Purpose
 - a) This section defines what the SOP is and provides context that is evidence for why the SOP is necessary.
3. CBO Guidelines:
 - a) This section describes College-level requirements and expectations relative to the business function. The requirements and expectations are specific to the College and are not just a re-articulation of a University rule, regulation, or policy. They may describe, however, how the College has interpreted University rules, regulations, or policies on behalf of the College.
4. Associated Systems/Forms
 - a) This section lists all systems or forms used as part of the business process. A system might include any software or website that is utilized during the procedure. Forms may include any documentation used prior to or during the procedure.

5. Roles and Responsibilities

- a) This section is a table that lists all parties involved with the procedure and describes their responsibility relative to the procedure. The table is divided by category of party: Department, CALS CBO, University, and External. Further, any roles that fall within these categories should then be organized by hierarchy. For example, if a Department Head and Principal Investigator each have a role in a procedure, under Department, the Department Head should be the first listed. The External category includes any parties that are from outside the University (e.g., a vendor, UNC System Office, etc.).

Relevant Parties	Roles and Responsibilities
<i>Department</i>	
<i>CALS Business Operations</i>	
<i>College</i>	
<i>University</i>	
<i>External</i>	

6. Procedure

- a) This section describes the procedures the College follows for the particular business function. Often the procedures can be subdivided into different categories. Within those categories, each numbered item articulates an individual step in or component of the process. To further break down an individual step, to include any exceptions or additional information for that procedure, a sub-step is inserted with alphabetical bullets. Regular bullets are used for any additional steps below a sub-step. An example is illustrated below:

5. PROCEDURE
5.1. Category
1. Step 1
a) Additional information
• Further information

- b) SOPs are not intended to document every administrative step within a process. SOPs do not describe how one fills out a form or enters information within a system. Instead, the SOP provides just enough context for each party to understand who is responsible for what activity at each major step in a business function.

7. References

- a) This section includes a list of and links to any rules, regulations, policies, or other

helpful information that is relevant to the SOP. Any acronyms should also be incorporated into the master list of acronyms.

8. Appendix
 - a) In the event that additional documentation of requirements is needed, an appendix may be necessary. For example, see the Project Modification Request SOP.
9. Revision Log
 - a) The revision log documents the date, the draft version number, a summary of changes made to the SOP, and the author's name.

5.5. Maintaining the SOPs

1. The SME is responsible for working with the appropriate CBO director(s) to review annually all SOPs under their purview to assess the need for revision. Annual review and any updates to SOP must be completed and certified by the SME to the Assistant Dean for Business Operations by December 15 of each calendar year.
2. In addition, each SME is responsible to monitor and respond to any regulatory, policy or procedure changes that will impact existing SOPs under their purview. Recognizing that external changes may vary in nature and scale, the SME will develop and submit revisions as soon as practicable.

6. REFERENCES

1. Abbreviations and Definitions- <https://cals.ncsu.edu/intranet/cals-business-operations/abbreviations-and-definitions/>
2. Guidance for Preparing Standard Operating Procedures (SOPs)- <https://www.epa.gov/sites/production/files/2015-06/documents/g6-final.pdf>

7. REVISION LOG

Date	Version	Nature of Change	Author
09/04/2018	1.0	Initial Document	Joyce Munro
11/14/2018	1.1	Technical clarification: Detailing internal process for SOP review (Section 5.1)	Joyce Munro