BA COPILOT SOP TEMPLATE

[Process name] - Standard Operating Procedure

Standard Operating Procedure

Document control

DOCUMENT ID

SOP-[CODE]-[NN]

PROCESS OWNER

[Process owner - team or role]

PROCESS NAME

[Process name]

EFFECTIVE DATE

[Effective date]

REVIEW CYCLE

Annual, or after any material change to the process, systems, or ownership

1. Purpose

PURPOSE STATEMENT

Describe what this procedure exists to achieve. State the outcome the process must produce and why it matters - for example, ensuring [outcome] is delivered consistently across [scope], or that [risk] is controlled to a defined standard.

2. Scope

In scope

IN SCOPE 1

The work in scope of this SOP - typically [activities] performed by [roles] within [team or function].

IN SCOPE 2

The systems, records, and handoffs the procedure relies on, including [systems / tools] and [evidence records].

IN SCOPE 3

The lifecycle covered by this SOP, from [trigger event] through to [close-out condition].

Out of scope

OUT OF SCOPE 1

Related activities owned by separate procedures - for example [adjacent process] or [exception process].

OUT OF SCOPE 2

Policy decisions, contract terms, or strategic choices that sit above this SOP and are not changed by it.

3. Roles and responsibilities

ROLE 1

[Role 1 - process owner]

ROLE 1 RESPONSIBILITY 1

Own this SOP end-to-end, including approval of changes, review cadence, and named accountability for outcomes.

ROLE 1 RESPONSIBILITY 2

Confirm that the procedure, controls, and records below remain fit for purpose at each review trigger.

ROLE 2

[Role 2 - primary executor]

ROLE 2 RESPONSIBILITY 1

Carry out the procedure as written, in the order defined, and produce the records listed at each step.

ROLE 2 RESPONSIBILITY 2

Raise blockers, exceptions, or ambiguity to the process owner instead of working around the SOP.

ROLE 3

[Role 3 - control or approver]

ROLE 3 RESPONSIBILITY 1

Review the evidence produced by the procedure and approve or reject according to the control criteria.

ROLE 3 RESPONSIBILITY 2

Record the decision, the date, and the basis for approval or rejection alongside the procedure record.

ROLE 4

[Role 4 - affected party or customer]

ROLE 4 RESPONSIBILITY 1

Provide the inputs the procedure requires and acknowledge the outputs it produces.

ROLE 4 RESPONSIBILITY 2

Flag any deviation from expected outcomes to the named owner so the SOP can be updated.

4. Procedure

STEP 1 TITLE

Step 1: [Trigger - what starts the process]

STEP 1 OWNER

[Role responsible]

STEP 1 ACTION

Describe the action taken - what does the role do at this point? Include the input it depends on, the system or tool used, and any decision made before moving to the next step.

STEP 1 RECORD / EVIDENCE

[Record produced - e.g. ticket, doc, log entry]

STEP 2 TITLE

Step 2: [Prepare inputs and confirm prerequisites]

STEP 2 OWNER

[Role responsible]

STEP 2 ACTION

Describe the action taken - what does the role do at this point? Confirm all inputs are present and valid before the executing step is allowed to begin.

STEP 2 RECORD / EVIDENCE

[Record produced - e.g. checklist, intake form]

STEP 3 TITLE

Step 3: [Execute the core activity]

STEP 3 OWNER

[Role responsible]

STEP 3 ACTION

Describe the action taken - what does the role do at this point? This is the work the SOP exists to govern. Be specific enough that a competent peer could repeat it.

STEP 3 RECORD / EVIDENCE

[Record produced - e.g. completed work item, transaction id]

STEP 4 TITLE

Step 4: [Verify the output meets the control criteria]

STEP 4 OWNER

[Role responsible]

STEP 4 ACTION

Describe the action taken - what does the role do at this point? State the check, the threshold, and what counts as a pass or fail.

STEP 4 RECORD / EVIDENCE

[Record produced - e.g. verification log, sign-off note]

STEP 5 TITLE

Step 5: [Approve or escalate]

STEP 5 OWNER

[Role responsible]

STEP 5 ACTION

Describe the action taken - what does the role do at this point? If the verification passed, approve and route to close-out. If it failed, escalate per the exceptions section.

STEP 5 RECORD / EVIDENCE

[Record produced - e.g. approval entry, escalation ticket]

STEP 6 TITLE

Step 6: [Close out and archive]

STEP 6 OWNER

[Role responsible]

STEP 6 ACTION

Describe the action taken - what does the role do at this point? Confirm all required records are stored, notify affected parties, and mark the work item complete.

STEP 6 RECORD / EVIDENCE

[Record produced - e.g. closure confirmation, archived bundle]

5. Controls and records

CONTROL 1

[Control description - e.g. mandatory input check]

CONTROL 1 RECORD

[Evidence record - e.g. intake form, system log]

CONTROL 1 OWNER

[Role]

CONTROL 1 REVIEW TRIGGER

[Cadence or trigger - e.g. before execution begins]

CONTROL 2

[Control description - e.g. independent review or approval]

CONTROL 2 RECORD

[Evidence record - e.g. signed approval, decision log]

CONTROL 2 OWNER

[Role]

CONTROL 2 REVIEW TRIGGER

[Cadence or trigger - e.g. before close-out]

CONTROL 3

[Control description - e.g. periodic sample check]

CONTROL 3 RECORD

[Evidence record - e.g. sampling report]

CONTROL 3 OWNER

[Role]

CONTROL 3 REVIEW TRIGGER

[Cadence or trigger - e.g. monthly]

6. Exceptions

EXCEPTION 1 SCENARIO

[Exception scenario - e.g. required input missing or invalid]

EXCEPTION 1 RESPONSE

[Response - pause the step, record the gap, and request the missing input from the named party with a due date.]

EXCEPTION 1 ESCALATION

[Escalation path - e.g. process owner if the input is not provided within [N] business days.]

EXCEPTION 2 SCENARIO

[Exception scenario - e.g. control criteria not met]

EXCEPTION 2 RESPONSE

[Response - hold the work item, record the basis for the failure, and route to the named approver for direction.]

EXCEPTION 2 ESCALATION

[Escalation path - e.g. governance forum if the same control fails [N] times in a row.]

EXCEPTION 3 SCENARIO

[Exception scenario - e.g. system or tool unavailable]

EXCEPTION 3 RESPONSE

[Response - use the approved manual fallback, log the deviation, and restore the system path as soon as it is available.]

EXCEPTION 3 ESCALATION

[Escalation path - e.g. system owner plus process owner if downtime exceeds [N] hours.]

7. Review and sign-off

SIGN-OFF 1 ROLE

[Process owner]

SIGN-OFF 1 NAME

[Name]

SIGN-OFF 1 DATE

[Date]

SIGN-OFF 2 ROLE

[Reviewer]

SIGN-OFF 2 NAME

[Name]

SIGN-OFF 2 DATE

[Date]

SIGN-OFF 3 ROLE

[Approver]

SIGN-OFF 3 NAME

[Name]

SIGN-OFF 3 DATE

[Date]

8. Version history

VERSION 1 NUMBER

1.0

VERSION 1 DATE

[YYYY-MM-DD]

VERSION 1 AUTHOR

[Author]

VERSION 1 CHANGE

Initial version

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