

SOP Template: Records Correction and Amendment Workflow

This SOP details the **records correction and amendment workflow**, outlining the procedures for identifying, reviewing, and approving necessary corrections or amendments to official records. It ensures accuracy, consistency, and compliance with regulatory requirements by establishing clear guidelines for initiating corrections, documenting changes, and maintaining audit trails. This workflow supports data integrity and accountability within organizational record-keeping systems.

1. Purpose

To establish a standardized process for the identification, review, correction, amendment, documentation, and approval of changes to official records, ensuring the integrity and compliance of organizational record-keeping practices.

2. Scope

This SOP applies to all employees and departments involved in maintaining, updating, or managing official records within the organization.

3. Responsibilities

- **Record Owners:** Initiate correction/amendment requests and ensure complete documentation.
- **Department Managers:** Review and provide preliminary approval for corrections/amendments.
- **Records Management Team:** Verify, process, and archive corrected/amended records, maintaining audit trails.
- **Compliance Officer:** Validate compliance aspects and approve significant amendments.

4. Definitions

Term	Definition
Correction	Adjusting a record to rectify inaccurate, incomplete, or erroneous information.
Amendment	Making substantive changes or updates to official records based on new information or requirements.
Audit Trail	A chronological set of records that provide documentary evidence of sequential steps taken.

5. Procedure

- 1. Identification of Correction/Amendment Need**
 - Errors, omissions, or updates to information are identified by stakeholders or through routine audits.
- 2. Initiation of Record Correction/Amendment Request**
 - Submit a completed Correction/Amendment Request Form with supporting documentation to the Records Management Team.
- 3. Review and Assessment**
 - The Records Management Team reviews submitted requests for completeness and validity.
 - Compliance Officer reviews requests involving regulatory or legal implications.
- 4. Approval**
 - Department Manager and Compliance Officer grant approval based on assessment outcomes.
- 5. Implementation of Corrections/Amendments**
 - Records Management Team implements approved changes, ensuring original entries are preserved in accordance with retention policies.
- 6. Documentation and Audit Trail**

- All changes are documented, with the Correction/Amendment Form and updated record attached to the audit trail.

7. Communication

- Relevant stakeholders are notified of the corrections/amendments.

6. Documentation and Records

- Correction/Amendment Request Forms
- Approval Records
- Audit Trails
- Updated and superseded records

7. Audit and Review

Periodic internal audits will be conducted to ensure compliance with this SOP, the effectiveness of procedures, and ongoing data integrity.

8. References

- Data Protection and Privacy Policies
- Regulatory requirements governing record amendments
- Internal Control Manuals

9. Revision History

Version	Date	Description	Approved By
1.0	2024-06-01	Initial template release	Compliance Officer