

Standard Operating Procedure (SOP)

Compliance Checks and Documentation Collection

This SOP details the process for conducting **compliance checks and documentation collection**, ensuring that all regulatory requirements are met and proper records are maintained. It covers procedures for verifying adherence to relevant laws and standards, systematically collecting necessary documents, organizing and securely storing records, and regularly updating compliance status. The aim is to facilitate accountability, transparency, and readiness for audits or inspections by maintaining accurate and comprehensive compliance documentation.

1. Purpose

To outline the procedures for performing compliance checks and collecting required documentation in accordance with applicable laws, regulations, and organizational policies.

2. Scope

This SOP applies to all employees and departments responsible for compliance activities and documentation management.

3. Responsibilities

- **Compliance Officer:** Oversees the compliance check process and documentation collection.
- **Department Heads:** Ensure that all required documents from their areas are submitted and up-to-date.
- **All Staff:** Cooperate during compliance checks and provide accurate information/documents as required.

4. Definitions

- **Compliance Checks:** The process of verifying alignment with regulatory or policy requirements.
- **Documentation Collection:** Gathering, organizing, and storing records necessary to evidence compliance.

5. Procedure

- 1. Planning Compliance Checks**
 - Identify applicable laws, regulations, and standards.
 - Schedule routine and ad-hoc compliance checks as required.
 - Notify relevant departments/individuals of upcoming checks.
- 2. Conducting Compliance Checks**
 - Use checklists and reference documents during verification.
 - Interview responsible personnel when necessary.
 - Document findings, noting any deficiencies or non-conformance.
- 3. Collecting Documentation**
 - Request and gather all necessary documents (licenses, certificates, reports, etc.).
 - Review documents for completeness and validity.
 - Digitize paper records if required.
- 4. Organizing and Storing Records**
 - Label and file all records systematically (use secure digital or physical storage).
 - Restrict access to authorized personnel only.
 - Backup electronic records regularly.
- 5. Updating Compliance Status**
 - Maintain a central compliance tracker or register.
 - Update records when documents expire, are renewed, or upon process changes.
- 6. Reporting and Review**
 - Summarize compliance status in periodic reports.
 - Escalate unresolved issues to management.
 - Conduct regular SOP reviews and updates as needed.

6. Documentation and Records

| Record | Responsibility | Retention Period |
|---------------------------------|-------------------------------------|-----------------------|
| Compliance checklists | Compliance Officer | 5 years |
| Collected certificates/licenses | Department Heads/Compliance Officer | Per legal requirement |

| | | |
|---------------------------|-----------------------|---------|
| Compliance status reports | Compliance Officer | 5 years |
| Audit logs | IT/Compliance Officer | 5 years |

7. References

- Relevant laws and regulations
- Organizational compliance policies
- Document retention schedule

8. Revision History

| Version | Date | Description of Change | Author |
|---------|------------|-----------------------|-------------|
| 1.0 | 2024-06-09 | Initial SOP Release | [Your Name] |