

SOP: Periodic Audit and Compliance Checklist

This SOP defines the process for conducting a **periodic audit and compliance checklist** to ensure organizational adherence to regulatory requirements and internal policies. It includes scheduling audits, preparing audit checklists, executing audits, documenting findings, addressing non-compliance issues, and implementing corrective actions to maintain continuous compliance and improve operational effectiveness.

1. Purpose

To establish a standardized process for conducting regular audits and compliance checks, identifying any non-compliance, and implementing actions for continuous improvement.

2. Scope

This SOP applies to all departments and functions subject to regulatory requirements, internal controls, and organizational policies.

3. Responsibilities

- **Audit Team:** Plan, conduct, and report audits.
- **Department Managers:** Facilitate audit activities, address findings, and implement corrective actions.
- **Compliance Officer:** Oversee the process, maintain records, and ensure follow-up on corrective actions.

4. Procedure

1. **Schedule Audits**
 - Prepare an annual audit plan specifying frequency, scope, and responsible personnel.
 - Notify relevant departments of audit dates in advance.
2. **Prepare Audit Checklist**
 - Develop or update the audit checklist based on regulatory requirements and internal policies.
 - Ensure checklist includes compliance items, documentation, and operational effectiveness metrics.
3. **Conduct Audit**
 - Perform audits according to the checklist.
 - Interview staff, review documents, and observe processes as needed.
4. **Document Findings**
 - Complete audit forms with detailed findings for each checklist item.
 - Identify and categorize any non-compliance or improvement opportunities.
5. **Report and Address Non-Compliance**
 - Prepare and distribute audit reports to relevant stakeholders.
 - Assign responsibility for resolving non-compliance issues.
6. **Implement Corrective Actions**
 - Develop action plans with deadlines to address findings.
 - Track and verify completion of corrective actions.
7. **Review and Update Process**
 - Periodically review the effectiveness of the audit process.
 - Update the SOP and checklists as necessary to address regulatory or business changes.

5. Audit and Compliance Checklist (Sample)

Checklist Item	Compliant (Y/N)	Comments/Findings
Policies and procedures are accessible and up-to-date		
Employee training records are complete		
Required documentation is maintained		
Incident reporting processes are followed		
Corrective actions from previous audits are closed		

6. Records

- Audit schedules and plans
- Completed audit checklists and supporting evidence
- Audit reports
- Corrective action plans and verification records

7. References

- Relevant regulatory standards and guidelines
- Internal control policies

8. Revision History

Date	Version	Description of Change	Approved By
	1.0	Initial creation	