

SOP: Periodic Audit and Compliance Checks

This SOP describes the process for **periodic audit and compliance checks**, including the scheduling of audits, documentation review, verification of regulatory compliance, identification of gaps and non-conformities, reporting procedures, corrective action plans, and follow-up evaluations. The objective is to ensure ongoing adherence to organizational policies, legal requirements, and industry standards, thereby maintaining operational integrity and minimizing compliance risks.

1. Purpose

To define the systematic approach for conducting periodic audits and compliance checks to ensure conformity with all applicable standards, regulations, and internal policies.

2. Scope

This SOP applies to all departments and processes subject to audit and regulatory compliance requirements within the organization.

3. Responsibilities

- **Audit Team:** Conducts audits, documents findings, and reports results.
- **Department Managers:** Cooperate with auditors and implement corrective actions.
- **Compliance Officer:** Oversees the audit schedule and tracks compliance status.
- **Senior Management:** Reviews audit results and allocates resources for improvements.

4. Procedure

1. **Audit Scheduling**
 - Develop and maintain an annual audit plan.
 - Notify relevant departments of upcoming audits at least 2 weeks in advance.
2. **Documentation Review**
 - Review policies, procedures, and previous audit reports pertinent to the audit scope.
3. **Verification of Regulatory Compliance**
 - Assess operations and documentation against relevant legal and industry requirements.
4. **Identification of Gaps and Non-conformities**
 - Record findings and categorize as compliant, non-compliant, or needing improvement.
5. **Reporting Procedures**
 - Compile an audit report detailing findings, evidence, and recommendations.
 - Distribute the report to relevant stakeholders within 7 days of audit completion.
6. **Corrective Action Plans**
 - Assign action items to responsible persons with defined timelines.
 - Monitor progress on implementation of corrective actions.
7. **Follow-up Evaluations**
 - Conduct follow-up audits or checks to verify effectiveness of corrective actions.
 - Document resolution or escalate persistent non-conformities to senior management.

5. Documentation and Records

- Audit Schedules
- Audit Checklists and Tools
- Audit Reports
- Corrective Action Plans
- Follow-up Evaluation Records

6. References

- Applicable regulatory standards and guidelines
- Organizational policy documents
- Previous audit reports

7. Revision History

Version	Date	Description	Author
1.0	2024-06-12	Initial release	[Your Name]