Standard Operating Procedure (SOP): Periodic Audit and Compliance Checks for Documentation

This SOP details the process for conducting **periodic audit and compliance checks for documentation**, ensuring all records meet regulatory standards and internal policies. It includes scheduling audits, reviewing documentation accuracy and completeness, verifying adherence to legal and organizational requirements, identifying discrepancies, and implementing corrective actions. The goal is to maintain consistent compliance, enhance transparency, and support effective governance through systematic document management and periodic review.

1. Purpose

To ensure all organizational documentation complies with internal policies, regulatory and legal standards through systematic, scheduled audits and compliance checks.

2. Scope

This procedure applies to all departments and staff responsible for maintaining or handling official documentation.

3. Responsibilities

- **Compliance Officer:** Oversees the audit process and ensures corrective actions are implemented.
- **Department Heads:** Ensure department-specific documentation is prepared for review.
- **Audit Team:** Conducts audits, reviews documents, and reports findings.
- **All Staff:** Maintain accurate and compliant documentation as per guidelines.

4. Procedure

1. **Scheduling Audits**
   - Prepare and publish an annual audit calendar.
   - Notify relevant departments at least two weeks in advance.

2. **Document Review**
   - Collect and organize documents based on scope.
   - Review for accuracy, completeness, and proper formatting.

3. **Compliance Verification**
   - Cross-check documents against regulatory and organizational requirements.
   - Ensure required signatures, dates, and approvals are present.

4. **Reporting & Discrepancy Identification**
   - Document findings and categorize by severity (e.g., critical, moderate, minor).
   - Report discrepancies to relevant stakeholders within 5 business days of audit completion.

5. **Corrective Actions**
   - Assign responsibility for resolution of discrepancies.
   - Implement corrective measures within established timelines.
   - Re-audit if necessary to confirm compliance.

6. **Documentation and Recordkeeping**
   - Maintain audit reports, checklists, and related correspondence securely.
   - Archive records according to the document retention policy.

5. Review and Continuous Improvement

- Review and update this SOP annually or as required by changes in regulation or policy.
- Solicit feedback from relevant stakeholders to improve the auditing process.

6. References

- Relevant regulatory guidelines
- Internal document management and retention policies
- Audit checklists and templates

7. Appendix

Term	Definition
Audit	A systematic review of documents and processes for accuracy and compliance.
Compliance	Adherence to laws, regulations, and internal standards.
Discrepancy	Any identified deviation from required standards or procedures.
Corrective Action	Steps taken to resolve non-compliance or discrepancies in documentation.