SOP: Regular Record Review and Audit Schedules

This SOP details the process for maintaining **regular record review and audit schedules**, ensuring systematic examination and evaluation of records to verify accuracy, compliance, and completeness. It covers planning audit timelines, assigning responsibilities, conducting thorough reviews, documenting findings, and implementing corrective actions to enhance organizational accountability and continuous improvement.

1. Purpose

To establish a structured process for regular review and audit of records, promoting operational compliance, accuracy, completeness, and ongoing improvement.

2. Scope

This SOP applies to all departments and personnel responsible for maintaining and reviewing organizational records.

3. Responsibilities

- **Quality Assurance (QA) Manager:** Overall oversight and approval of audit schedules.
- **Department Heads:** Assign reviewers, ensure timely reviews, and implement corrective actions.
- **Assigned Reviewers/Auditors:** Conduct reviews per schedule and document findings.
- **All Staff:** Provide necessary records and information during review.

4. Definitions

- **Record:** Any document, form, electronic file, or log maintained as evidence of activities.
- **Audit:** Systematic, independent examination of records to determine compliance and accuracy.
- **Corrective Action:** Steps taken to address and resolve findings or non-conformities.

5. Procedure

1. **Planning Audit Schedules**
    - Develop an annual/monthly/quarterly review and audit schedule based on regulatory and organizational requirements.
    - Circulate the schedule to all relevant department heads and personnel.

2. **Assignment of Responsibilities**
    - Department heads to assign qualified staff as reviewers/auditors for each record type.
    - Document all assignments and communicate roles clearly.

3. **Preparation for Review**
    - Notify involved staff of upcoming review dates and required records.
    - Reviewers to prepare necessary checklists or audit tools.

4. **Conducting the Review/Audit**
    - Examine records for accuracy, completeness, and compliance with policies.
    - Interview staff as needed and verify supporting documentation.

5. **Documentation of Findings**
    - Record all findings, including areas of compliance and deficiencies, in the audit report.
    - Use standardized forms or templates for consistency.

6. **Corrective Actions & Follow-up**
    - Assign corrective actions for any non-conformities identified.
    - Set deadlines and monitor implementation of corrective actions.
    - Verify and document completion of actions in follow-up reviews.

7. **Recordkeeping**
    - Store all audit schedules, reports, and related records securely according to retention policies.
    - Ensure records are accessible for future reference and external inspections.

6. Audit Schedule Template

Record Type	Reviewer	Frequency	Scheduled Date	Status	Findings/Comments
Personnel Files	Jane Doe	Quarterly	2024-07-15	Pending	
Quality Logs	John Smith	Monthly	2024-07-10	Completed	No findings

7. References

- Internal Quality Management System (QMS) Manual
- Applicable Regulatory Guidelines

8. Revision History

Version	Date	Description	Approved By
1.0	2024-06-29	Initial SOP release	QA Manager