

SOP for Periodic Audit and Compliance Checklists

This SOP details the process for conducting **periodic audit and compliance checklists** to ensure organizational adherence to regulatory requirements and internal policies. It includes scheduling audits, preparing checklist templates, performing systematic evaluations, documenting findings, addressing non-compliance issues, and implementing corrective actions. The goal is to maintain continuous compliance, improve operational efficiency, and mitigate risks through regular review and monitoring.

1. Purpose

To provide a standardized procedure for periodic audits and compliance checks safeguarding organizational compliance and continuous improvement.

2. Scope

This SOP applies to all departments, teams, and personnel responsible for regulatory and internal policy adherence within the organization.

3. Responsibilities

- **Compliance Officer / Audit Lead:** Oversee scheduling, execution, and reporting of audits.
- **Department Managers:** Ensure cooperation and provide required documentation.
- **Audit Team:** Conduct evaluations, record findings, and follow up corrective actions.
- **All Employees:** Cooperate during audits and assist as required.

4. Definitions

- **Audit:** Systematic, independent, and documented process for obtaining evidence and evaluating it objectively.
- **Compliance Checklist:** Predefined list of requirements or controls for adherence verification.
- **Non-Compliance:** Failure to satisfy specified requirements.
- **Corrective Action:** Action to eliminate cause of non-compliance and prevent recurrence.

5. Procedure

1. Audit Scheduling and Planning

- Establish audit frequency (e.g., quarterly, biannually, annually).
- Distribute annual audit calendar to relevant stakeholders.
- Select audit scope and team members.

2. Checklist Preparation

- Develop or update compliance checklist templates specific to process, function, or regulatory domain.
- Verify alignment with current laws, industry standards, and internal policies.

3. Conduct Audit

- Use checklists to systematically review relevant areas and documentation.
- Interview personnel and observe processes as necessary.
- Record observations and compliance status for each item.

4. Document Findings

- Summarize observations, noting any non-compliance, risks, or improvement opportunities.
- Prepare and circulate audit report to management and relevant stakeholders.

5. Address Non-Compliance & Corrective Actions

- Assign responsibility for each non-compliance issue.
- Develop and implement corrective action plans with deadlines.
- Follow up to ensure effective resolution.

6. Continuous Improvement and Record Keeping

- Periodically review effectiveness of the audit process and update SOP/checklists as needed.
- Maintain audit records and corrective action logs securely for reference and future audits.

6. Compliance Checklist Template (Example)

Checklist Item	Status (Y/N)	Comments / Evidence
Policies up-to-date and accessible?		
Employee training records complete?		
Regulatory licenses/permits valid?		
Incident reports reviewed regularly?		

7. References

- Applicable regulatory standards (specify as needed)
- Internal policy documents
- Previous audit reports

8. Revision History

Date	Version	Description	Author
2024-06-21	1.0	Initial SOP template	Compliance Dept.

All personnel must adhere strictly to this SOP during the audit and compliance process. Failure to comply may result in disciplinary action and/or increased risk exposure for the organization.