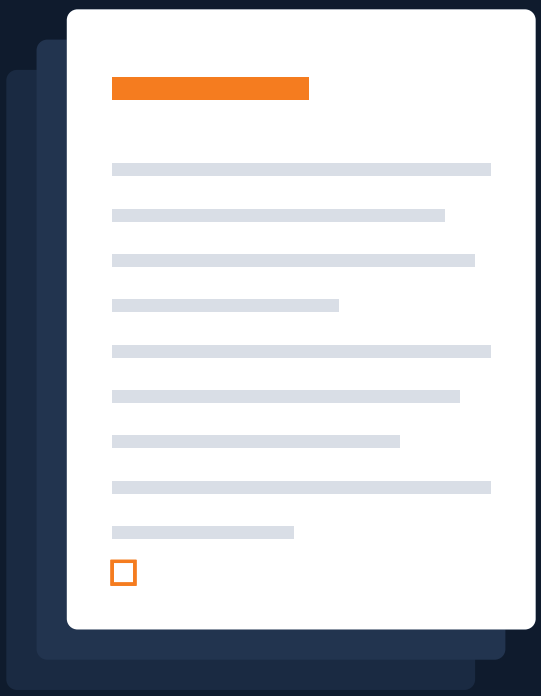
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SOP TEMPLATES

Compliance SOP

A fully controlled procedure mapped to regulated standards such as ISO, OSHA, HIPAA and SOC 2.

LEVEL OF DETAIL

Very High

BEST SUITED FOR

Regulated standards (ISO, OSHA, HIPAA, SOC 2)

About this template

The Compliance SOP adds what auditors look for on top of a standard SOP: traceability to specific clauses or controls, defined evidence, risk controls, training requirements and formal change control. Every requirement in the procedure should be traceable to a record that proves it was done.

Detail	
Level of detail	Very High
Best suited for	Regulated standards (ISO, OSHA, HIPAA, SOC 2)

How to use it

- Replace every *[grey bracketed placeholder]* with your own details.
- Delete the orange **Guidance** boxes and green **Example** boxes before you publish or circulate it.
- Add or remove table rows as needed; keep the section order so readers can find things quickly.

Document Control

SOP title		**SOP number**	
Revision		**Department**	
Process owner		**Approved by**	
Effective date		**Next review date**	
Regulation / standard		**Control / clause refs**	

Version	Date	Author	Summary of changes
[1.0]	*[DD/MM/YYYY]*	*[Name]*	*[Initial release]*

01 Purpose

GUIDANCE *One or two sentences on what this procedure achieves and why it matters. Do not describe the steps here.*

EXAMPLE This SOP ensures every new client account is set up correctly within two business days, so billing, access and reporting work from day one.

02 Scope

GUIDANCE *State exactly what is covered and what is not. Clear exclusions stop people applying the SOP to the wrong situation.*

In scope	Out of scope
[Process, location, systems covered]	*[Related processes handled elsewhere]*

03 Regulatory & Control Mapping

GUIDANCE *Map each requirement to the procedure step that satisfies it and the evidence it produces. This is the table auditors read first.*

Standard	Clause / control	Requirement summary	SOP step	Evidence
[e.g. ISO 27001]	*[A.5.15]*	*[Access control policy enforced]*	*[6.2]*	*[Access review log]*

04 Roles & Responsibilities

GUIDANCE *Name roles, not people, so the SOP survives staff changes.*

Role	Responsibilities
[Role title]	*[What this role does in the procedure]*

05 Definitions

GUIDANCE *Define any term or abbreviation a new team member might not know.*

Term	Definition
[Term / abbreviation]	*[Plain-language definition]*

06 Risk & Controls

GUIDANCE *Identify what could go wrong and the control in this procedure that prevents or detects it.*

Risk	Likelihood	Impact	Control	Control owner
[Risk]	*[L/M/H]*	*[L/M/H]*	*[Preventive / detective control]*	*[Role]*

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07 Procedure

GUIDANCE *Mark steps that are compliance-critical so they cannot be skipped. State the evidence each critical step creates.*

#	Action	Responsible	Critical?	Evidence created
1	*[Verb + action]*	*[Role]*	[Yes/No]	*[Record]*

08 Monitoring & Internal Audit

GUIDANCE *Describe how compliance is checked between external audits.*

Check	Method	Frequency	Owner
[e.g. Access review]	*[Sample of 25 accounts]*	*[Quarterly]*	*[Role]*

09 Nonconformance & Corrective Action

GUIDANCE *Explain what happens when the procedure is not followed or a control fails.*

- Report deviations to [role] within [timeframe] using [form / system].
- Investigate root cause using [5 Whys / 8D].
- Track corrective actions in [CAPA log] until verified effective.

10 Training Requirements

GUIDANCE *List who must be trained, on what, and how often. Keep training records as evidence.*

Role	Training	Frequency	Record kept in
[Role]	*[Course / briefing]*	*[Initial + annual]*	*[LMS]*

11 Records & Related Documents

GUIDANCE *List the records this procedure creates, where they are kept, and for how long. Link related policies and SOPs.*

Record / document	Location	Retention	Owner
[Record name]	*[System or folder]*	*[e.g. 3 years]*	*[Role]*

12 Approval

GUIDANCE *Signatures make the SOP official. Do not use it until it is approved.*

Role	Name	Signature	Date
Prepared by			
Reviewed by			
Approved by			

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