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# COMPLIANCE AUDIT SOP

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Standard Workflow for Internal Audits



MAY 20, 2025

PREPARED BY AUDIT TEAM LEAD- ROSS BROWNE  
AI DOMAIN

## **EVIDENCE INFORMATION**

**DOCUMENT TITLE:** Standard Operating Procedure for Compliance Department

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**DEPARTMENT:** Compliance Department

**DESCRIPTION:** This document contains the Standard Operating Procedure for Internal Audits of the AI domain.

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# Standardized Audit Procedure – Compliance Audit Team

## Purpose

This document outlines the standardized procedure for conducting internal compliance audits across organizational domains. It is intended for current and future members of the Compliance Audit Team, as well as external reviewers seeking to understand the audit workflow.

## Scope

This Standard Operating Procedure (SOP) applies to internal compliance audits conducted across the AI cohort within the organization. It is designed to ensure uniformity and quality in auditing practices, regardless of the team or project under review.

## Responsibilities

- **Compliance Audit Team Lead:** Oversees the audit process, maintains this SOP, and ensures it is reviewed and updated at least annually or after each audit cycle.
  - Ross Browne
- **Audit Team Members:** Responsible for conducting audits as per this SOP, contributing to refinements based on audit findings and team feedback.
  - Akira Devonish, Cherelle Griffith, Christopher Gilkes, Tansha Powlett, Tazia Holder, Tansha Powlett, Tyrell McCollin, Victor Clarke, Roger Barrow
- **Domain Leads:** Expected to participate in the audit process and provide accurate and timely information during assessments.
  - Compliance Team Lead (Terry Bennett), Data Collection Team Lead (Ashley Blenman, Data Cleaning Team Lead (Asha Blenman)
- **Data Librarian:** Expected to monitor work product for version control, ensure that the work product is stored appropriately and securely
  - Roger Barrow
- **Domain Coordinator:** May review SOP adherence and provide oversight or recommendations for improvement.
  - Dale Edwards



## 1. Audit Preparation

- Identify the domain(s) to be audited.
- Send out a preliminary self-assessment form to the domain lead(s). This form would gather basic information about the teams being audited, such as team structure and a synopsis of their current activities.
- This would also be the time to include base line compliance questions (depending on the type of audit being done) to ensure teams reflect on their practices and become accustomed to answering audit level questions ahead of the interviews.
- See the following for an example <https://forms.office.com/r/KzA5nxSAAG>
- Set deadlines for preliminary form submission.
- Assign audit team members to attend the interviews and fulfill the following roles beforehand:
  - **Lead Interviewer:** Guides for the audit interview by asking assigned questions and facilitating discussion with the department.
  - **Scribe:** Captures accurate notes and responses during the interview for audit documentation.
  - **Compliance Checker:** Flags issues and raises further questions if clarification is needed at any point during the interviews.

## 2. Question Development

- Customize the Master Audit Template with domain-specific questions.
- Base questions on preliminary form responses, known gaps, and frameworks (e.g., GDPR, BDPA, EU AI Act).
- Ensure each section includes actionable, clear questions. These can range from yes or no to open-ended questions. For an example form see:  
[Master\\_Audit\\_Template\\_V2.docx](#)

### 3. Conducting Interviews

- Schedule interviews with domain leads and use the completed Master Audit Template as a guide and ask questions about their activities and practices to assess compliance.
- Ensure interviews are focused and respectful. Remember to explain how the interview process will proceed and ask for consent if sessions are to be recorded.
- The assignment and responsibilities associated with these interview roles (Lead Interviewer, Scribe and Compliance Checker) can be adjusted based on the size of the audit team and its dynamics.

### 4. Scoring and Evaluation

- Team members score their assigned sections after the interviews.
- The following example rubric can be used as a guide:

Section	Max	Achieved	Rating
Data Cleaning & Processing	40		
Data Storage, Security & Privacy	30		
Compliance & Accountability	20		
Continuous Improvement & Compliance Culture	10		
<b>Total</b>	100		
Compliance Score (%)	Final Rating		
90 - 100%	 <b>Compliant</b> – No major risks, minor improvements suggested.		
70 - 89%	 <b>Partially Compliant</b> – Some risks identified; action needed.		
Below 70%	 <b>Non-Compliant</b> – Does not meet requirements, immediate action required.		

### 5. Compiling the Report

Compile the following for the reports:

- Overview of the audited domain
- Summary of findings
- Scores and recommendations based on feedback from the team
- See the following example as a guide [Domain\\_C\\_ReportExample\\_2025\\_V1.docx](#)

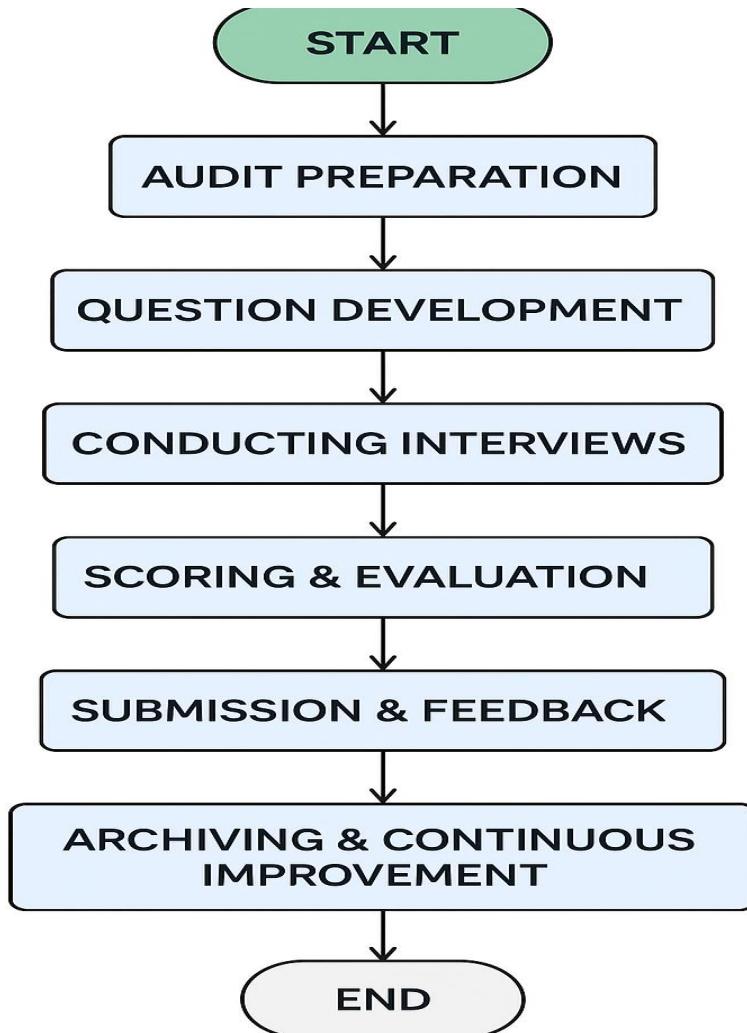
## **6. Submission and Feedback**

- Submit reports to Compliance and domain leads.
- Request feedback on findings and support needed for implementation.

## **7. Archiving and Continuous Improvement**

- Archive reports and documentation.
- Conduct post-audit review and refine the process for the next cycle.

## Visual Flow Chart



## Example of Completed Audit Form

[DClean\\_Compliance\\_Q1-2025\\_VFinal.docx](#)