

**SOP 04**  
**RESPONSES TO AUDIT FINDINGS**

**1.0 PURPOSE AND SCOPE**

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This SOP specifies the requirements for the PI to respond to audit findings.

**2.0 REQUIREMENTS**

- 2.1 The PI will be given a copy of the research compliance audit.
- 2.2 The PI will submit a copy of the audit and their response to the audit, including corrective action plan if applicable, to the IRB within 3 weeks of receiving the audit.
- 2.3 The responses shall strive to correct the root cause of the audit finding. The resolution is not intended to find fault in regards to specific individuals, but is intended to prevent re-occurrence of the audit finding.

  
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