

SOP: Documentation, Tracking, and Record-Keeping Requirements

This SOP details the **documentation, tracking, and record-keeping requirements** necessary for maintaining accurate and organized records. It covers the processes for creating, storing, and managing documents, ensuring compliance with regulatory standards, facilitating data retrieval, and supporting audits and reviews. The goal is to promote transparency, accountability, and efficient information management across all operations.

1. Purpose

To outline the standardized procedures for documenting, tracking, and retaining records to meet organizational and regulatory standards.

2. Scope

This SOP applies to all departments and personnel involved in the creation, handling, or management of organizational documents and records.

3. Responsibilities

- **All Staff:** Ensure accurate and timely documentation of activities, processes, and transactions.
- **Department Heads:** Oversee document management within their area and ensure compliance with this SOP.
- **Records Manager:** Maintain centralized records, oversee retention schedules, and coordinate audits.
- **IT/Systems Support:** Manage electronic document management systems and backups.

4. Procedure

4.1 Document Creation

1. Use approved templates when available.
2. Include all required metadata (date, author, version, department, etc.).
3. Review and approve documents per departmental workflow.

4.2 Document Tracking

1. Assign unique identifiers to each document or record.
2. Log the document in the central register or electronic document management system (EDMS).
3. Update document status to reflect current stage (e.g., draft, revised, approved).

4.3 Storage and Retention

1. Store records securely in designated physical or electronic locations.
2. Restrict access based on roles and responsibilities.
3. Adhere to the organization's document retention schedule; review and purge documents as scheduled.

4.4 Record Retrieval and Audit

1. Retrieve records promptly upon authorized request.
2. Facilitate access for internal/external audits and reviews.
3. Document all retrievals and disclosures in the access log.

5. Compliance and Review

- Comply with applicable local, state, and federal regulations regarding records management.
- Review and update this SOP annually or upon significant regulatory/operational change.

6. Supporting Documents

Document	Description	Location
Document Register	Central catalog of all official documents and records	EDMS / Records Room
Retention Schedule	Lists types of records and required retention periods	Company Intranet
Access Log	Tracks document retrieval and review activity	EDMS / Logbook

7. Revision History

Version	Date	Description of Change	Author
1.0	2024-06-10	Initial issue	Compliance Officer