

# SOP: Electronic and Physical Document Management Workflow

## Purpose

This SOP defines the **electronic and physical document management workflow**, covering the systematic processes for creating, organizing, storing, retrieving, and disposing of documents. It ensures consistency and security in handling both digital and paper records through standardized naming conventions, version control, access permissions, backup protocols, and compliance with regulatory requirements. The workflow facilitates efficient document lifecycle management to enhance operational transparency and accountability.

## Scope

This procedure applies to all personnel involved in originating, modifying, processing, storing, accessing, or disposing of organizational documents in electronic or physical formats.

## Definitions

- **Electronic Document:** Any documentation created, stored, or managed digitally.
- **Physical Document:** Any documentation in paper or hard copy form.
- **Document Owner:** Person responsible for the creation, management, and disposition of a document.
- **Version Control:** Process for tracking and managing changes to documents.
- **Access Permission:** Rights assigned to users outlining the level of access to documents.

## Responsibilities

Role	Responsibilities
Document Owner	Ensure proper classification, versioning, storage, and retention of their documents.
All Employees	Follow procedures for document creation, storage, retrieval, and disposal.
IT/Admin Staff	Manage electronic document systems, maintain backup, and ensure access security.

## Procedure

### 1. Document Creation

- Use approved templates and standardized formats for both electronic and physical documents.
- Assign a clear and unique document name following the naming convention (see Section 6).

### 2. Document Organization

- Store electronic documents in the designated digital repository with proper folder structure.
- Label physical documents and file them in secure, accessible storage cabinets by category.

### 3. Version Control

- Apply revision numbers/dates in document headers or filenames.
- Retain prior versions as per retention policy or archive procedures.

### 4. Access and Retrieval

- Grant access rights to authorized users only, as per their roles.
- Record access logs for sensitive or regulated documents.
- Follow check-in/check-out procedures for physical document handling.

### 5. Backup and Security

- Backup electronic documents daily to secure servers/cloud as per IT policy.

- Maintain restricted and secure access to storage rooms for physical documents.
- Apply encryption or password-protection to confidential digital files.

## 6. Naming Convention

Adopt the following format:

- [Department]\_[DocumentType]\_[Title/ShortDescription]\_YYYYMMDD\_[Version]
- **Example:** HR\_Policy\_LeaveManagement\_20240618\_v1.0.docx

## 7. Retention and Disposal

- Retain documents as per the organizational or regulatory retention schedule.
- Dispose of electronic files securely, ensuring complete data deletion.
- Shred or otherwise destroy paper documents scheduled for disposal.
- Maintain records of disposal actions performed.

## Compliance & Review

- Ensure adherence to relevant legal, regulatory, and industry-specific standards (e.g., GDPR, HIPAA).
- Review and update this SOP annually or as needed based on audit feedback and regulatory changes.

## References

- Document Retention Policy
- Data Protection Policy
- IT Security Guidelines
- Applicable Regulatory Documents