SOP Template: Documentation, Filing, and Audit Trail Maintenance

This SOP details the processes for **documentation, filing, and audit trail maintenance**, emphasizing accurate record-keeping, systematic filing methods, and the establishment of reliable audit trails. It is designed to ensure compliance with regulatory requirements, enhance data integrity, facilitate easy retrieval of information, and support accountability and transparency within the organization. The SOP covers document creation, classification, storage, retention, and secure disposal, as well as monitoring and reviewing audit trails to maintain a comprehensive and traceable record management system.

1. Purpose

To establish standardized procedures for documentation, systematic filing, and audit trail maintenance to ensure compliance, accountability, transparency, and data integrity.

2. Scope

This SOP applies to all employees responsible for creating, handling, retaining, and disposing of documents or records within the organization.

3. Responsibilities

- **Department Heads:** Ensure adherence to this SOP within their teams.
- **Document Owners:** Create, update, and maintain records as per guidelines.
- **Records Management Staff:** Oversee filing, storage, retention, and secure disposal.
- **IT Support:** Ensure digital audit trails are maintained and protected.

4. Procedure

4.1 Document Creation

- Prepare documents with proper titles, dates, version numbers, and author identification.
- Ensure accuracy, clarity, and completeness.
- Obtain necessary approvals before finalization.

4.2 Document Classification and Filing

- Categorize documents based on type, department, confidentiality level, and retention period.
- Use standardized naming conventions and file directory structures.
- File documents promptly in designated physical or electronic storage locations.

4.3 Document Storage and Security

- Store physical documents in secure, access-controlled locations.
- Ensure electronic documents are stored in password-protected and regularly backed-up repositories.
- Restrict access to authorized personnel only.

4.4 Document Retention and Disposal

- Retain records according to legal, regulatory, and organizational requirements.

- Document retention schedules and review periods must be followed.
- Conduct secure disposal (e.g., shredding, permanent digital deletion) after retention period expires.

4.5 Audit Trail Maintenance

- Record all document creation, modification, access, and deletion activities.
- Use version controls and activity logs for electronic documents.
- Review audit trails regularly for compliance and detect unauthorized access or modifications.

5. Monitoring and Review

- Supervisors conduct periodic audits of document management activities.
- Regularly review and update the SOP to ensure relevance and compliance with current regulations.
- Report discrepancies or breaches to management immediately.

6. References

- Relevant laws and regulations
- Company policies
- Industry standards for records management

7. Revision History

Version	Date	Summary of Changes	Approved By
1.0	2024-06-12	Initial SOP template issued	Compliance Officer