# SOP: Procedures for Document Retrieval and Usage Tracking

This SOP details the **procedures for document retrieval and usage tracking**, including methods for systematic document storage, efficient retrieval processes, authorization protocols, tracking document access and usage, version control management, and maintaining a secure audit trail. The objective is to ensure accurate, timely access to documents while safeguarding information integrity and compliance with organizational policies.

## 1. Purpose

To define standardized procedures for storing, retrieving, tracking, and auditing documents to ensure information integrity and compliance.

## 2. Scope

This SOP applies to all staff and departments handling creation, storage, and usage of organizational documents, both electronic and physical.

## 3. Responsibilities

- **Document Owner:** Ensures documents are up-to-date and access rights are assigned appropriately.
- **Department Staff:** Complies with retrieval and usage tracking protocols.
- **IT/Admin:** Maintains document management systems and secures access logs.

## 4. Procedures

### 4.1 Document Storage

- All documents must be stored in the designated Document Management System (DMS) or secure physical archive.
- Assign a unique identifier and version number to each document.
- Meta-data (title, author, date, version, status) must be completed upon storage.

### 4.2 Document Retrieval

- Retrieve documents via search (by title, ID, metadata) in the DMS.
- Physical document requests must be logged and signed out through the document custodian.

### 4.3 Authorization Protocols

- Access to sensitive documents is controlled via user roles and permissions in the DMS.
- Authorization is reviewed quarterly or as organizational needs change.

### 4.4 Usage Tracking

- All access, edits, prints, and shares of electronic documents are logged automatically within the DMS.
- Manual logs are used for physical document retrieval and must include user, document ID, date/time, and purpose.

### 4.5 Version Control

- Update documents using check-in/check-out procedures in the DMS.
- Each revision is saved as a new version with comments on changes made.
- Previous versions remain accessible for reference and audit.

### 4.6 Audit Trail Maintenance

- DMS generates immutable audit logs for each document's lifecycle.
- Audit logs are reviewed monthly by IT or compliance staff for unusual activity.
- Retain audit logs for a minimum of [X] years as required by policy.

## 5. Documentation and Records

- Document Access Log (automated or manual)
- Version History Records
- Authorization Change Records
- Audit Trail Reports

# 6. References

- Organizational Information Security Policy
- Personal Data Protection Policy
- DMS User Manual

# 7. Review and Revision

This SOP will be reviewed annually or upon changes to relevant regulations or systems.

# 8. Appendix: Sample Access Log

| User | Document ID | Action | Date/Time | Comments |
|---|---|---|---|---|
| J. Smith | DOC-2024-005 | Viewed | 2024-05-20 15:10 | -- |
| S. Lee | DOC-2024-007 | Edited | 2024-06-01 09:33 | Updated section 4.2 |