SOP Template: Record-keeping and Report Submission Requirements

This SOP defines the **record-keeping and report submission requirements**, detailing the procedures for accurate documentation, timely report preparation, and proper maintenance of records. It covers the types of records to be kept, methods for data collection and storage, confidentiality and security measures, deadlines for report submissions, and protocols for reviewing and validating information to ensure compliance with organizational and regulatory standards.

1. Purpose

To establish standardized procedures for the creation, maintenance, security, and submission of records and reports, ensuring accuracy and compliance with legal and organizational policies.

2. Scope

This SOP applies to all team members involved in data entry, record maintenance, and report preparation within the organization.

3. Definitions

Term	Definition
Record	Any documented information generated or received in the course of business operations.
Report	A formal account or statement containing information on a particular subject, based on recorded data.
Confidentiality	The protection of sensitive information from unauthorized disclosure.
Validation	The process of verifying the accuracy and completeness of records and reports.

4. Responsibilities

- **Data Entry Personnel:** Responsible for accurate and timely entry of information into the records system.
- **Supervisors/Managers:** Ensure all records and reports are reviewed, validated, and submitted according to schedule.
- **IT/Admin:** Maintain data storage systems, backups, and security protocols.

5. Procedures

5.1 Types of Records to Be Kept

- Operational logs
- Employee records
- Financial documents
- Incident reports
- Regulatory compliance documents

5.2 Data Collection and Storage Methods

1. Collect data using approved forms or digital systems.
2. Regularly update and backup all digital records.
3. Store physical records in secure, designated locations with restricted access.
4. Label records clearly for easy identification and retrieval.

5.3 Confidentiality and Security Measures

- Restrict access to authorized personnel only.
- Encrypt digital records and use password-protected systems.
- Regularly review access logs to detect unauthorized activity.
- Shred or securely delete records past their retention period.

5.4 Report Preparation and Submission Deadlines

- Prepare reports in the standardized organizational format.
- Review and validate all data before report finalization.
- Submit reports by the 5th working day of the month, unless specified otherwise.
- Keep a submission log with date and recipient details.

5.5 Review and Validation Protocols

1. Supervisors review draft reports for completeness and accuracy.
2. Confirm all source records match stated data in the reports.
3. Resolve any discrepancies before final submission.
4. Record reviewed/validated status with date and reviewer's signature or digital mark.

6. Compliance and Record Retention

- Maintain all records in accordance with organizational record retention schedule (see appendix).
- Ensure compliance with applicable laws and industry regulations.

7. Revision and Review

- This SOP shall be reviewed annually or as needed to incorporate regulatory or procedural changes.
- Record all revisions in the document history log.

Appendix

- Sample record-keeping log template
- Confidentiality agreement form
- Record retention schedule table