

SOP: Documentation and Record-Keeping Requirements

This SOP details **documentation and record-keeping requirements**, emphasizing accurate, consistent, and secure maintenance of all relevant records. It covers the procedures for creating, storing, updating, and archiving documents to ensure compliance with regulatory standards, improve operational efficiency, and support effective decision-making. Proper documentation practices facilitate traceability, accountability, and transparency across all organizational processes.

1. Purpose

Establish requirements and standard practices for documenting, handling, and retaining records to meet legal, regulatory, and organizational needs.

2. Scope

This SOP applies to all staff, departments, and processes where documentation and record-keeping are necessary within the organization.

3. Responsibilities

- **All Employees:** Ensure accurate and timely creation and submission of required documents.
- **Department Managers:** Oversee adherence to documentation standards and retention requirements.
- **Records Officer/Administrator:** Maintain secure storage, retrieval, and disposal of records.

4. Procedure

- Document Creation**
 - Use approved templates and formats.
 - Ensure all required fields and signatures are included.
 - Document information promptly and accurately.
- Document Review and Approval**
 - Submit documents for review as per department workflow.
 - Obtain necessary approvals before finalization.
 - Document version control and changes appropriately.
- Storage and Security**
 - Store physical documents in secure, access-controlled areas.
 - Use encrypted digital storage for electronic records.
 - Restrict access to authorized personnel only.
- Document Updating and Corrections**
 - Update documents immediately upon changes.
 - Maintain a record of revisions and retain previous versions as required.
- Retention and Archiving**
 - Retain documents in accordance with statutory requirements and organizational policy.
 - Archive records at end of active use period in secure and organized manner.
- Document Disposal**
 - Destroy records after retention period using secure and approved methods (e.g. shredding, secure deletion).
 - Log disposal actions in a destruction register.

5. Record Types

Record Type	Responsible Person	Retention Period	Storage Location
Employee Records	HR Manager	7 Years	HR Secure Drive; HR Filing Room
Financial Documents	Finance Manager	10 Years	Finance System; Secure Archive
Operational Reports	Operations Lead	5 Years	Department Network Folder
Incident Logs	Department Supervisor	5 Years	Incident Management System

6. Compliance and Auditing

- Regular internal audits to ensure compliance with documentation standards and retention schedules.
- Corrective actions taken promptly for any non-compliance identified.

7. References

- Relevant laws and regulations (e.g. GDPR, HIPAA, SOX, as applicable)
- Organizational policies and procedures

8. Revision History

Version	Date	Description of Change	Approved By
1.0	2024-06-01	Initial release	Compliance Officer