

# SOP Template: Collection and Review of Supporting Documents/Evidence

This SOP details the **collection and review of supporting documents and evidence**, outlining procedures for systematically gathering, verifying, and analyzing relevant materials to support investigations, audits, or decision-making processes. It emphasizes the importance of maintaining document integrity, ensuring accuracy, and adhering to confidentiality protocols to uphold the validity and reliability of the evidence presented.

## 1. Purpose

To establish standardized procedures for the collection, review, verification, and management of supporting documents and evidence to ensure credibility, accuracy, and confidentiality during investigations, audits, or reviews.

## 2. Scope

This SOP applies to all personnel involved in gathering, reviewing, and handling supporting documents or evidence within the organization.

## 3. Responsibilities

- **Investigators/Reviewers:** Responsible for collecting, verifying, and securely storing documents and evidence.
- **Supervisors/Managers:** Oversee adherence to procedures and address non-compliance.
- **Document Custodian:** Maintains records and controls access to sensitive information.

## 4. Procedure

### 1. Preparation

- Identify the nature and purpose of the investigation, audit, or review.
- Determine the types of documents/evidence required.
- Brief relevant personnel on confidentiality and data protection protocols.

### 2. Collection of Documents/Evidence

- Request documents from relevant sources using standardized request forms or channels.
- Log all incoming documents in the evidence register (physical or electronic record).
- Label and timestamp all evidence upon receipt.

### 3. Verification

- Cross-check documents against original sources or with issuing authorities when possible.
- Assess completeness, authenticity, and relevance of each document.
- Flag and report discrepancies or forged material immediately to supervisors.

### 4. Review and Analysis

- Evaluate the evidence in line with the case objectives or audit criteria.
- Highlight critical findings or inconsistencies.
- Document analysis notes and attach to the evidence file.

### 5. Documentation and Record-Keeping

- Maintain an evidence log with access controls and audit trails.
- Store physical and electronic documents in secure, access-restricted locations.

### 6. Confidentiality and Data Protection

- *Ensure only authorized personnel have access to sensitive materials.*
- *Follow organizational and legal requirements for data privacy and destruction of materials no longer required.*

### 7. Reporting

- Summarize findings and evidence in official reports.
- Cite referenced documents/evidence clearly and accurately.

## 5. Quality Assurance

- Conduct periodic audits of evidence management practices.
- Update procedures in response to new regulatory or operational requirements.

## 6. References

- Organization's Information Security Policy
- Data Protection Regulations (e.g., GDPR, HIPAA)
- Relevant Laws and Audit Standards

## 7. Revision History

Version	Date	Author	Changes
1.0	2024-06-08	Initial Draft	First issue