

# Standard Operating Procedure (SOP)

## Document Management and Filing Procedures

### Purpose:

This SOP details the **document management and filing procedures**, covering the systematic organization, storage, retrieval, and archiving of documents. It establishes standardized methods for categorizing files, maintaining document integrity, ensuring confidentiality, and complying with legal and regulatory requirements. The purpose is to improve efficiency, accessibility, and security of important records while supporting consistent and reliable information management across the organization.

### Scope:

This procedure applies to all employees involved in handling, managing, and filing both physical and electronic documents within the organization.

### Responsibilities:

- **All Employees:** Ensure proper handling and classification of documents as per this SOP.
- **Document Control Officer:** Oversee implementation, provide training, and monitor compliance.
- **Managers/Supervisors:** Ensure staff adherence within their areas of responsibility.

### Definitions:

- **Document:** Any recorded information (physical or electronic) created, received, and maintained by the organization.
- **Filing:** The process of arranging and storing documents for easy retrieval and reference.
- **Archiving:** Long-term storage of inactive documents in a secure manner.

### Procedures:

1. **Document Categorization**
  - Classify documents by type (e.g., financial, HR, legal, operational).
  - Assign unique identifiers (e.g., reference numbers, file codes).
2. **Filing System**
  - Establish and maintain a master filing index (physical and/or digital).
  - Store physical documents in labeled folders/cabinets. Use color coding if appropriate.
  - For electronic documents, use standardized folder hierarchies and clear naming conventions.
3. **Document Storage**
  - Store documents in secure locations to prevent unauthorized access, damage, or loss.
  - Back up electronic documents regularly to approved storage solutions.
4. **Access Control and Confidentiality**
  - Restrict access based on job roles and document sensitivity.
  - Maintain access logs for confidential or sensitive documents.
5. **Document Retrieval**
  - Ensure quick and accurate retrieval by referencing the master index or digital search functions.
6. **Archiving and Retention**
  - Archive inactive documents according to the retention schedule.
  - Label archives clearly with retention/destruction dates.
7. **Disposal of Documents**
  - Destroy documents securely (e.g., shredding, secure digital deletion) after retention period.
  - Maintain records of disposed documents for audit purposes.
8. **Compliance**
  - Ensure document management practices comply with applicable laws, regulations, and organization policies.

### References:

- Organization's Records Retention Policy
- Applicable local, state, and federal regulations

### Revision History:

Version	Date	Author	Description of Change
1.0	2024-06-12	Admin	Initial SOP release