

Standard Operating Procedure (SOP)

Documentation and Evidence Management Protocols

Purpose: This SOP defines **documentation and evidence management protocols**, detailing the systematic processes for collecting, organizing, storing, and maintaining documents and evidence securely. It ensures data integrity, confidentiality, and accessibility while complying with regulatory standards. The protocols cover document version control, evidence chain of custody, proper labeling, secure storage solutions, and authorized access procedures. The objective is to maintain accurate and reliable records that support accountability, transparency, and legal compliance across all organizational activities.

1. Scope

- Applicable to all personnel involved in the creation, handling, and management of documents and evidence.
- Covers all organizational documentation and physical/digital evidence relevant to business operations and legal requirements.

2. Responsibilities

Role	Responsibilities
Record Custodian	Overall supervision of documentation and evidence management, access control, and periodic audits.
Document Owner	Maintains the accuracy and integrity of assigned documents; ensures regular updates.
All Personnel	Adheres to established protocols, reports incidents, and requests access as needed.

3. Protocols & Procedures

- Document Collection and Creation**
 - Capture all relevant data at the time of occurrence.
 - Standardize document formats and naming conventions.
- Organization and Labeling**
 - Label documents and evidence containers with unique identifiers.
 - Index records for easy retrieval using established taxonomy.
- Document Version Control**
 - Maintain a record of version history for each document.
 - Track and log all edits, reviews, and approvals.
- Evidence Chain of Custody**
 - Log every transfer, handling, or movement of evidence.
 - Ensure signatures and timestamps from all involved parties.
- Secure Storage Solutions**

- Store physical records in locked cabinets or secure rooms with restricted access.
- Protect digital records with encrypted storage, backups, and access logs.

6. **Access Procedures**

- Grant access only to authorized personnel based on job function and necessity.
- Document all access requests and approvals.

7. **Retention and Disposal**

- Retain documents and evidence in accordance with legal, regulatory, and organizational requirements.
- Ensure secure destruction or deletion of records upon expiration of retention period, with documentation of the process.

4. **Compliance and Audit**

- Schedule regular audits to verify adherence to SOP protocols.
- Identify, document, and address non-conformities or breaches promptly.
- Review and update SOP as needed to reflect regulatory changes or operational improvements.

5. **References**

- Applicable legal and regulatory requirements (e.g., GDPR, HIPAA, ISO 9001)
- Internal policies on information security and records management

6. **Revision History**

Version	Date	Description	Author
1.0	2024-06-10	Initial SOP release	[Name]