

# SOP Template: Record-keeping and Documentation Requirements

This SOP defines the **record-keeping and documentation requirements**, including proper methods for maintaining accurate and up-to-date records, documentation standards, data storage protocols, compliance with regulatory requirements, and procedures for regular review and audit of records. The objective is to ensure transparency, accountability, and efficient retrieval of important information for operational and legal purposes.

## 1. Purpose

To establish processes and standards for maintaining, storing, and reviewing all business records and documentation to ensure integrity, accessibility, and regulatory compliance.

## 2. Scope

This SOP applies to all employees, departments, and contractors involved in generating, handling, or archiving records for the organization.

## 3. Responsibilities

- **All Employees:** Ensure accuracy and completeness of records.
- **Department Managers:** Oversee compliance within their teams and ensure secure storage.
- **Records Officer/Data Custodian:** Manage archiving, access, and regular audits.
- **Compliance Officer:** Monitor regulatory adherence regarding records.

## 4. Documentation Standards

- All records must be clear, accurate, and complete.
- Entries must be dated and attributable to the responsible person.
- Use approved forms/templates for consistency.
- Corrections must be initialed, dated, and not obscure the original entry.
- Electronic records must have audit trails and access controls.

## 5. Data Storage Protocols

- Secure physical records in locked cabinets or restricted areas.
- Store digital records in approved, encrypted systems with routine backups.
- Restrict access to authorized personnel only.
- Retention periods shall comply with regulatory guidelines and organizational policies.
- Dispose of confidential records securely (shredding, secure digital deletion).

## 6. Compliance and Regulatory Considerations

- Abide by local, national, and industry-specific regulations (e.g., GDPR, HIPAA, SOX).
- Maintain records for the mandated timeframes as per applicable laws.
- Ensure data privacy and protection throughout the record life cycle.

## 7. Review and Audit Procedures

- Conduct scheduled audits (annually, or as required) to verify compliance and accuracy.
- Document audit findings and implement corrective actions for discrepancies.
- Review procedures upon regulation changes or after identified noncompliance.
- Report audit results to senior management and retain audit records.

## 8. Record Retention Schedule Example

Record Type	Retention Period	Storage Location
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Financial Records	7 years	Secured digital archive & physical vault
Personnel Files	6 years after separation	HR system & locked storage
Operational Reports	5 years	Departmental server
Compliance Documentation	As required by law	Compliance office archive

## 9. Revision History

Version	Date	Author	Description of Change
1.0	2024-06-XX	[Author Name]	Initial creation