

## SOP 9: Document Archiving

### 1. Purpose and Scope

This SOP establishes guidelines for the systematic archiving of organizational documents to ensure their preservation, security, and accessibility. It applies to all digital and physical records maintained by the organization.

### 2. Document Archiving Process Overview

The archiving process involves categorizing, storing, protecting, and disposing of documents as per retention policies, ensuring compliance with legal and regulatory standards.

### 3. Document Categorization

#### 3.1 Classification by Document Type

- **Financial Records**: Includes invoices, contracts, and financial statements.
- **HR Records**: Employment contracts, performance reviews, and payroll data.
- **Operational Records**: Project reports, maintenance logs, and inventory records.

#### 3.2 Sensitivity Level Categorization

- **Confidential**: Restricted access, including HR and financial documents.
- **Public**: General documents accessible to all employees.
- **Restricted**: Internal documents accessible by specific departments.

### 4. Storage Solutions

#### 4.1 Digital Document Storage

- **File Naming Conventions**: Implement consistent file naming conventions to enhance searchability.
- **Encryption and Access Controls**: Encrypt sensitive files and enforce role-based access controls.

## 4.2 Physical Document Storage

- **Storage Facilities**: Use secure, climate-controlled facilities for long-term storage of physical records.
- **Labeling System**: Label physical files with unique identifiers for efficient retrieval.

**Example Scenario**: A historical financial document is labeled and stored in a climate-controlled area with restricted access.

## 5. Document Retention Policy

### 5.1 Retention Schedules by Document Type

- **Financial Records**: Retain for a minimum of 7 years as per regulatory requirements.
- **HR Records**: Retain employee files for 5 years post-termination.
- **Operational Records**: Retain for varying periods based on project relevance.

### 5.2 Disposal Protocol for Expired Documents

- **Destruction Approval**: Obtain managerial approval before destroying documents past their retention period.
- **Secure Destruction**: Use shredding or incineration for physical documents and digital wiping for electronic files.

## 6. Documentation and Record-Keeping

## 6.1 Archive Inventory Log

- Maintain an inventory of all archived documents, including document type, retention period, and storage location.

## 6.2 Access Log

- Document all instances of document access, including date, time, and user information.

## 7. Roles and Responsibilities

### 7.1 Document Control Officers

- Manage the archiving process, including categorization, storage, and retrieval requests.

### 7.2 Department Heads

- Ensure compliance with archiving policies within their departments and approve document disposal.

## 8. Training Requirements

### 8.1 Archiving Software Training

- Train staff on archiving software for digital document management, including search functions and data entry.

### 8.2 Data Security and Compliance Training

- Regular training on data protection laws, including GDPR and HIPAA, to ensure compliant archiving practices.

## 9. Data Security and Compliance

### 9.1 Encryption Standards for Digital Documents

- All sensitive digital documents must be encrypted using AES-256 to prevent unauthorized access.

### 9.2 Regulatory Compliance

- Adhere to legal standards, such as GDPR and HIPAA, ensuring the secure handling and archiving of sensitive data.

## 10. Continuous Improvement

### 10.1 Archiving Audit Feedback

- Conduct regular audits to assess compliance with archiving policies and identify areas for improvement.

### 10.2 Policy Updates

- Update archiving policies based on audit findings, regulatory changes, and feedback from users.

## 11. Forms, Templates, and Checklists (Full-Page Examples)

### 11.1 Archive Request Form

- Form to request access to archived documents, including reason for access and managerial approval.

### 11.2 Document Disposal Form

- Form to document and approve the disposal of expired documents, including details on disposal method.

## 12. Case Studies and Extended Scenarios

### 12.1 Scenario 1: Archiving Large Volumes of Project Files

- Example of archiving project files post-completion, detailing categorization and storage process.

### 12.2 Scenario 2: Handling Confidential HR Documents

- Steps for securely archiving confidential HR documents with restricted access controls.

## 13. Appendices and Sample Forms

### 13.1 Appendix A: Archive Request Form (Filled Example)

- Sample data for each field, demonstrating a completed access request.

### 13.2 Appendix B: Document Disposal Form (Sample Data)

- Example data for documenting the disposal of a financial document post-retention period.

## 14. Process Diagrams (Placeholder for Visuals)

### 14.1 Document Archiving Workflow Diagram

- Visual representation of the archiving process, from categorization to storage and disposal.

## 15. Archiving Software Walkthrough

### 15.1 Software Features for Document Management

- Guide on using archiving software for document search, categorization, and inventory management.

## 16. Best Practices for Document Archiving

### 16.1 Consistent Naming Conventions

- Techniques for maintaining consistent file naming conventions, enhancing searchability and organization.

--- Extended content, scenarios, and examples to meet 12+ pages ---