# Part 1: The Document We Inherited

Reproduced in full — a real-world-style SOP as it typically arrives. Numbered notes mark what auditors flag.

BEFORE

## User Access SOP 1

*last updated: unknown (file properties say 2021)*

When someone new joins the company or needs access to one of the systems, a request should be submitted so that access can be set up. The manager will usually approve it unless someone else needs to approve it instead, depending on the system. 2

Once it has been approved, IT will set everything up and the person will be notified that their access is ready. The spreadsheet should also be updated when possibl 3 so there is a record of it.

**Steps:**

1. Submit request
2. Get approval
3. Create account 4
4. Notify user
5. Update spreadsheet

**Notes:**

If it is urgent, just message someone on the IT team directly and they can usually get it done faster. Karen normally handles these requests, but if she is out you ca 5 ask Dave.

For contractors it might be a little different — check with HR first to see what they need. Some systems also require training before access can be given (see the training doc, if you can find it). 6

### WHAT AN AUDITOR SEES

1 **No identity or version**
No document ID, version, owner, or review date. Nobody can say whether this is current.

2 **Passive voice, no owner**
"A request should be submitted" — by whom? "The manager will usually approve" — which manager? No one is accountable.

3 **Uncontrolled record**
"The spreadsheet, when possible" — an optional log in an unmanaged file is not audit evidence.

4 **Steps without substance**
No systems named, no timing, no approvals mapped to steps, no evidence produced at any step.

5 **Tribal knowledge**
The real process lives with Karen and Dave. When they leave, the process leaves. The urgent path bypasses approval entirely.

6 **Broken references**
"Check with HR" and "the training doc, if you can find it" — undefined handoffs and links that go nowhere.

# Part 2: The Rewrite — Structure & Steps

The same procedure after a Rescue Sprint. Every fix maps to a finding on the previous page.

AFTER

## User Access Provisioning

SOP-IT-004

| VERSION | EFFECTIVE | REVIEW DUE | OWNER |
|---|---|---|---|
| 2.0 | 03/01/2026 | 03/01/2027 | IT Security |

### 1.0 PURPOSE

To define the standard, auditable process for granting access to Summit Manufacturing systems, ensuring access is provisioned only with documented approval and least privilege.

### 2.0 SCOPE

All access requests for employees and contractors. Vendor access is governed by SOP-IT-007. Contractor pre-requirements are defined in Section 5.

### 3.0 ROLES

Requestor (any staff) · Approver (System Owner per Access Control Matrix) · Provisioner (IT Access Analyst) · Record-keeper (automated via ticketing system).

### 4.0 PROCEDURE

| # | ACTION | OWNER | SLA | EVIDENCE |
|---|---|---|---|---|
| 1 | Submit request (form FRM-IT-011) | Requestor | — | Ticket ID |
| 2 | Verify role vs. access matrix | IT Access Analyst | 4 bus. hrs | Matrix note |
| 3 | Approve or reject with reason | System Owner | 1 bus. day | Approval |
| 4 | Provision least-privilege access | IT Access Analyst | 4 bus. hrs | System log |
| 5 | Confirm first login; close ticket | IT Access Analyst | 1 bus. day | Closure note |

*Every step produces evidence automatically — the audit trail is a byproduct of doing the work, not extra work.*

### WHAT CHANGED

1. **Identity block**
   Document ID, version, owner, effective and review dates — anyone can verify currency in two seconds.
2. **Boundaries drawn**
   Scope states what's in, what's out, and where exceptions live. The contractor ambiguity is resolved, not ignored.
3. **Named roles, not names**
   Karen and Dave are replaced by roles. People can change; the process holds. Tribal knowledge is now institutional.
4. **Steps that govern**
   Each step has an owner, a deadline, and the evidence it must produce — the difference between describing work and controlling it.

# Part 2 (cont.): Exceptions, Records & Control

The sections the original document didn't have — the ones audits are won or lost on.

### 5.0 CONTRACTOR PRE-REQUIREMENTS

Contractor access requires a countersigned agreement on file with HR and completion of security awareness training (TRN-SEC-001) before Step 3 approval.

### 6.0 EMERGENCY ACCESS (EXCEPTION PATH)

The System Owner may grant emergency access verbally. The Provisioner records it in the access register within one business day, and retroactive approval is attached to the ticket. Emergency grants are reviewed at the next quarterly access review.

### 7.0 RECORDS & REVIEW

The ticketing system is the system of record. System Owners review all active access quarterly; results are documented in the access review log. This SOP is reviewed annually by the owner.

### 8.0 RELATED DOCUMENTS

POL-SEC-002 Access Control Policy · FRM-IT-011 Access Request Form · Access Control Matrix · TRN-SEC-001 Security Awareness Training · Quarterly Access Review Checklist

### 9.0 REVISION HISTORY

| VER | DATE | CHANGE SUMMARY | APPROVED |
|---|---|---|---|
| 1.0 | 2021 | Original draft (untracked) | — |
| 2.0 | 03/2026 | Full rewrite: roles, SLAs, evidence, exceptions | J. Rivera |

APPROVED BY
J. Rivera, Director of IT (fictional)

DATE
02/24/2026

## WHAT CHANGED

1. **Handoffs defined**
   "Check with HR" became a named prerequisite with a document reference. No dead ends.
2. **The urgent path is governed**
   Emergencies still move fast — but they're recorded, retroactively approved, and reviewed. Speed without a bypass.
3. **A real system of record**
   The optional spreadsheet became an automatic ticketing record plus a scheduled quarterly review.
4. **Change is visible**
   Revision history and approval signatures mean every future edit is accountable — the document now governs itself.

# Part 3: What the Transformation Buys You

The same five steps existed in both versions. Everything else is what makes documentation survive contact with reality.

| DIMENSION | BEFORE | AFTER |
|---|---|---|
| **Ownership** | “Someone” / Karen / Dave | Named roles with an accountable owner |
| **Currency** | Unknown; file said 2021 | Versioned, dated, annual review cycle |
| **Timing** | None | SLA on every step |
| **Evidence** | Optional spreadsheet | Automatic record at every step |
| **Exceptions** | “Just message IT” | Governed emergency path with review |
| **References** | “If you can find it” | Five linked, ID'd documents |
| **Survivability** | Leaves with the people | Holds through turnover and audits |

### HOW LONG THIS TAKES

This rewrite is one of the three priority documents delivered in a Documentation Rescue Sprint — 7 business days, starting at $2,000, including the reusable template, naming standards, and a 30-day improvement plan for the rest of your portfolio.

## Your messiest SOP could look like Part 2 by this time next week.

Schedule a Documentation Rescue Call → ApexDocumentationGroup.com

DOCUMENTATION, GOVERNANCE & COMPLIANCE