

SOP Template: Case Documentation and Record-Keeping Protocol

This SOP details the **case documentation and record-keeping protocol**, emphasizing accurate and consistent recording of case information, proper classification and storage of records, confidentiality and data protection measures, regular audits and updates of documentation, and compliance with legal and organizational requirements. The protocol aims to ensure reliable, accessible, and secure management of case records to support effective case handling and reporting.

1. Purpose

To establish standardized procedures for consistent, accurate, and secure documentation and record-keeping of case files, ensuring control, accessibility, confidentiality, and compliance with regulations.

2. Scope

This protocol applies to all staff involved in case management, documentation, and record-keeping at [Organization Name].

3. Responsibilities

- **Case Managers:** Accurate documentation of case details and maintaining up-to-date records.
- **Records Custodians:** Secure storage, classification, and maintenance of all case records.
- **Supervisors:** Oversight of protocol compliance and periodic audits.
- **All Staff:** Adherence to confidentiality and data protection requirements.

4. Procedures

1. Case Documentation

- Document all case activities, decisions, communications, and outcomes promptly.
- Use standardized forms and templates for consistency.
- Include dates, times, names, and relevant details in all records.

2. Classification of Records

- Classify records by case type, status, case number, and client identifiers.
- Ensure appropriate labeling for easy retrieval and tracking.

3. Storage of Records

- Store records in designated secure physical or electronic systems.
- Restrict access to authorized personnel only.
- Back up electronic records regularly in secure locations.

4. Confidentiality and Data Protection

- Follow applicable legal and organizational data privacy policies.
- Do not disclose case information without proper authorization.
- Use secure communication methods for sharing case information.

5. Audits and Updates

- Conduct regular audits of case files for accuracy and completeness.
- Update records promptly for changes in case status or additional information.
- Document any corrections or amendments clearly with date and author initials.

6. **Retention and Disposal**

- Retain case records as per legal and organizational retention schedules.
- Dispose of records securely at the end of the retention period, using shredding or secure deletion.
- Maintain a log of disposed or archived files.

5. **Compliance**

- All procedures comply with applicable local, national, and organizational requirements for documentation, confidentiality, and data security.
- Non-compliance may result in disciplinary action and legal consequences.

6. **Review and Revision**

- This SOP is reviewed annually, or as required, to ensure ongoing compliance with laws and best practices.
- All revisions are documented, dated, and communicated to relevant staff members.

7. **References**

- [Related policies, laws, regulations, or best practices, e.g., HIPAA, GDPR]
- [Internal policy numbers or document links]

8. **Appendix**

Document Name	Template Link/Reference	Retention Period
Case Intake Form	[Insert link or reference]	7 years
Case Progress Notes	[Insert link or reference]	7 years
Case Closure Summary	[Insert link or reference]	7 years

Effective Date: [Insert Date]

Next Review Date: [Insert Date]

Approved by: [Insert Name/Title]