

SOP Template: Closure, Filing, and Archival of Case Records

This SOP details the **closure, filing, and archival of case records**, encompassing standardized procedures for finalizing case files, organizing and securely filing documents, and managing long-term storage. The goal is to ensure proper documentation, maintain confidentiality, facilitate easy retrieval, and support compliance with legal and organizational requirements throughout the lifecycle of case records.

1. Purpose

To define procedures for closing, filing, and archiving case records in compliance with legal, regulatory, and organizational requirements, ensuring documentation integrity and confidentiality throughout the process.

2. Scope

This SOP applies to all personnel involved in the preparation, handling, filing, and archiving of case records, including both digital and physical formats.

3. Responsibilities

- **Case Handler:** Prepares and reviews case files for closure.
- **Records Officer:** Coordinates filing and archival of completed case files.
- **Department Head:** Ensures overall compliance and authorizes final closure and archiving.

4. Definitions

Term	Definition
Case Record	All documents and information relating to a specific case, in physical or digital format.
Filing	Arranging and storing case records in an organized system for active or short-term retrieval.
Archival	Long-term storage of inactive case records in accordance with the retention schedule.
Closure	The administrative process of finalizing and closing a case file when all activities are complete.

5. Procedure

5.1 Case Closure

1. Ensure all necessary documentation is complete, accurate, and signed off as required.
2. Confirm that all actions related to the case are concluded.
3. Mark the case as 'Closed' in the case management system.
4. Notify relevant stakeholders of case closure.

5.2 Filing of Case Records

1. Sort case documents by date and relevance.
2. Assign a unique file identifier as per organizational guidelines.
3. File physical records in secure, labeled folders or cabinets; file digital records in approved electronic systems with access controls.
4. Update filing logs/registers with file details and location.

5.3 Archival of Case Records

1. Review records to determine eligibility for archival based on the retention policy.
2. For physical records:
 - a. Prepare boxes with inventory lists and archive labels.
 - b. Store in secure archival storage, ensuring environmental protection and restricted access.
3. For digital records:

- a. Transfer files to designated secure archival storage with controlled access.
 - b. Ensure backup and data integrity checks are performed.
- 4. Update archival register with file details, storage location, and archival date.

6. Confidentiality and Security

- Restrict access to authorized personnel only.
- Ensure secure transport and storage of both physical and digital records.
- Report any breaches or loss of records immediately to the designated authority.

7. Retention and Disposal

- Monitor retention schedules in accordance with organizational or legal guidelines.
- At end of retention period, dispose of records securely (e.g., shredding, secure digital deletion) following approval.
- Document all disposal activities, noting file identifiers and disposal methods.

8. References

- Organizational Record Management Policy
- Data Protection and Privacy Laws
- Industry-specific Archival Standards

9. Revision History

Version	Date	Description	Author
1.0	2024-06-05	Initial release	SOP Team