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

This SOP details the process for **closure, documentation, and archival of case records**, including final case review, proper documentation standards, secure file handling, data confidentiality measures, and systematic archiving protocols. The goal is to ensure accurate, secure, and organized management of case records for future reference, compliance, and retrieval by authorized personnel.

1. Purpose

To establish standardized procedures for the closure, documentation, and archival of case records, ensuring accuracy, security, and ease of future access.

2. Scope

This SOP applies to all staff involved in case management, documentation, and record-keeping within the department.

3. Responsibilities

- **Case Managers:** Ensure case documentation is complete and accurate.
- **Supervisors:** Review and approve case closure.
- **Records Management Staff:** Oversee proper archiving and secure storage of closed case records.
- **All Staff:** Maintain confidentiality and compliance with data protection policies.

4. Procedure

1. **Final Case Review**
   - Case manager reviews all documentation for completeness and accuracy.
   - Ensure all required actions, follow-ups, and communications are documented.
   - Submit case file for supervisory review.

2. **Proper Documentation**
   - Ensure that all documents are properly signed, dated, and labeled.
   - Digital records must be named and stored according to organizational naming conventions.
   - Attach any supporting documents, evidence, and correspondence.

3. **Secure File Handling and Data Confidentiality**
   - Store physical files in locked cabinets with restricted access.
   - Ensure digital files are stored in secure, access-controlled systems.
   - Destroy or redact documents containing sensitive information per policy before archiving.

4. **Systematic Archiving**
   - Label records with unique case identifiers, closure dates, and retention periods.
   - Archive records in designated physical or digital storage locations.
   - Update the central case register/database to reflect the closure and location of archived records.

5. **Retrieval and Access**
   - Allow retrieval of archived records only to authorized personnel upon written request.
   - Log all retrievals and returns of archived records.

5. Documentation Standards

- Use organization-approved forms and formats.
- Maintain legibility and completeness in all handwritten notes.
- All electronic records must be backed up as per IT policy.
- Avoid use of personal identifiers beyond those allowed by policy.

6. Compliance and Auditing

- Periodic audits will be conducted to verify adherence to the SOP.
- Non-compliance must be reported to the departmental supervisor or compliance officer.

7. Retention and Disposal

- Case records will be retained in accordance with the organization's records retention schedule.
- Records exceeding the retention period will be securely destroyed, with destruction logged and witnessed as per policy.

8. References

- Records Management Policy
- Data Protection and Confidentiality Guidelines
- IT Security Policy

9. Revision History

Version	Date	Description of Change	Author
1.0	2024-06-30	Initial SOP creation	[Your Name]