

SOP: Confidential Record-Keeping and Case Closure Process

This SOP details the **confidential record-keeping and case closure process**, including secure documentation of case information, data privacy protocols, procedures for updating and maintaining records, criteria for case closure, finalizing case documentation, and ensuring compliance with legal and organizational standards. The objective is to maintain the integrity and confidentiality of sensitive information throughout the case lifecycle and ensure a systematic and compliant closure process.

1. Purpose

To outline procedures for confidential documentation, maintenance, and closure of cases, ensuring compliance with relevant privacy laws and internal policies.

2. Scope

This SOP applies to all staff handling sensitive case files and records within the organization.

3. Responsibilities

- **Case Managers:** Ensure accurate documentation, secure storage, and oversee closure procedures.
- **Data Protection Officer:** Monitor compliance with privacy laws and data security protocols.
- **IT Team:** Maintain access controls and secure digital storage systems.

4. Procedure

1. **Secure Documentation**
 - Record all case details in approved, access-controlled systems.
 - Maintain physical records in locked, designated storage areas.
2. **Data Privacy Protocols**
 - Restrict record access to authorized personnel only.
 - Utilize encryption for electronic records.
 - Regularly review access logs and permission settings.
3. **Updating and Maintaining Records**
 - Update case files promptly with relevant developments or correspondence.
 - Conduct periodic audits to ensure accuracy and completeness of information.
4. **Criteria for Case Closure**
 - All actions and outcomes are documented.
 - No further work or follow-up is required per case objectives.
 - Sign-off obtained from responsible authorities.
5. **Finalizing Documentation**
 - Confirm all required documents are present and correctly filed.
 - Complete case closure checklist and obtain necessary approvals.
6. **Ensuring Compliance**
 - Verify that documentation and storage meet legal and policy requirements (e.g., GDPR, HIPAA if applicable).
 - Schedule secure retention or destruction of records as per retention policies.

5. Case Closure Checklist

Task	Completed (Yes/No)	Responsible
All actions documented		Case Manager
Record integrity/accuracy verification		Case Manager
Approvals obtained		Supervisor
Records archived or scheduled for destruction		Records Officer

Access revoked for closed case		IT/Admin
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6. Compliance and Review

- Conduct annual review of procedures and update SOP as necessary.
- Document and report any breaches or non-compliance incidents.

7. References

- Data Protection Policy
- Record Retention Schedules
- Applicable legal regulations (GDPR, HIPAA, etc.)