

# SOP Template: Implementation, Monitoring, and Archiving of Case Records

This SOP details the **implementation, monitoring, and archiving of case records**, covering the systematic recording, regular review, secure storage, and proper disposal of case documents. It ensures accurate documentation, compliance with data protection standards, and easy retrieval for future reference, promoting efficient case management and organizational accountability.

## 1. Purpose

To establish guidelines for the effective implementation, continuous monitoring, and secure archiving of case records to ensure organizational integrity, compliance, and efficiency.

## 2. Scope

This SOP applies to all staff members involved in the handling, maintenance, and management of case records within the organization.

## 3. Responsibilities

- **Case Managers:** Accurate creation and updating of case records.
- **Supervisors:** Regular review and monitoring of case records for compliance and completeness.
- **Records Management Staff:** Secure storage and proper archiving or disposal of case records.
- **IT/Data Security Team:** Safeguarding digital case records and backup management.

## 4. Definitions

Term	Definition
Case Record	Any document or digital file related to a case, including forms, correspondence, reports, and supporting materials.
Archiving	The process of securely storing inactive case records for future reference and legal compliance.
Disposal	Secure destruction or deletion of case records beyond their retention period.

## 5. Procedures

### 5.1 Implementation of Case Records

1. Collect and document all relevant case information using standardized forms or systems.
2. Ensure each case record is clearly labeled with unique identifiers and date stamps.
3. Obtain necessary approvals and signatures as required.
4. Store records in the designated secure physical or electronic location.

### 5.2 Monitoring of Case Records

1. Conduct regular (e.g., quarterly) audits of active case records to review accuracy and completeness.
2. Address discrepancies or missing information with responsible staff immediately.
3. Document monitoring activities, findings, and actions taken.

### 5.3 Archiving of Case Records

1. Transfer inactive or closed case records to secure storage (physical archive room or encrypted digital archives).
2. Maintain an archive register indicating case identification, storage location, and retention period.
3. Limit archive access to authorized personnel only.

### 5.4 Disposal of Case Records

1. At the end of the retention period, compile a list of records scheduled for disposal.
2. Obtain approval from management prior to disposal.
3. Use secure disposal methods (e.g., shredding for paper, data erasure for electronic records).
4. Document date and method of disposal for audit purposes.

## 6. Compliance and Data Protection

- Adhere to relevant data protection laws and confidentiality agreements.
- Ensure secure handling of all sensitive information throughout the record lifecycle.
- Conduct periodic training for staff on data protection and record management best practices.

## 7. Review and Revision

This SOP should be reviewed annually or as needed to ensure compliance with evolving laws, regulations, and organizational needs.

## 8. References

- *Data Protection Act / GDPR* (update reference as relevant)
- Organizational Records Management Policy
- Case File Retention Schedule

## 9. Appendices

- Sample Case Record Template
- Archive Register Template
- Disposal Authorization Form