SOP Template: Initial Assessment and Case Categorization

This SOP details the process for **initial assessment and case categorization**, including the steps for gathering relevant information, prioritizing cases based on severity and urgency, documenting initial findings, and assigning appropriate categories for efficient case management. The goal is to ensure systematic evaluation and timely handling of cases to facilitate accurate decision-making and resource allocation.

1. Purpose

To establish a standardized process for the initial assessment and categorization of cases to ensure a consistent, organized, and timely response.

2. Scope

This procedure applies to all team members responsible for case intake, triage, and initial case review.

3. Responsibilities

- Case Intake Staff: Gather and record relevant case information.
- Case Manager/Supervisor: Review initial assessment and confirm categorization.
- All Staff: Ensure documentation is accurate and up-to-date.

4. Procedure

1. **Case Intake**
    - Receive case submissions via designated intake channels (e.g., email, portal, in-person).
    - Confirm receipt and create a new case record in the management system.
2. **Gather Relevant Information**
    - Collect all pertinent details, including but not limited to: name, contact information, description of the issue, supporting evidence/documents, time/date of occurrence.
    - Request additional information from the submitter, if necessary.
3. **Initial Assessment**
    - Conduct a preliminary review of the case to determine accuracy, completeness, and relevance of information provided.
    - Identify any immediate risks or urgent needs.
4. **Case Categorization & Prioritization**
    - Assign a severity rating (e.g., low, medium, high, critical) based on impact and urgency.
    - Categorize the case according to established types (e.g., technical, compliance, safety, etc.).
    - Document rationale for categorization and prioritization.
5. **Documentation**
    - Update the case record with all gathered information, assessment notes, and assigned categories/priorities.
    - Attach or link supporting documents and evidence.
6. **Assignment**
    - Assign the case to the appropriate team or individual for further action based on categorization and available resources.
    - Notify the assigned party of the new case and its priority level.

5. Documentation and Records

All case records, supporting documents, and assessment notes must be stored securely within the designated case management system. Ensure compliance with data privacy and retention policies.

6. Review and Update

This SOP should be reviewed annually and updated as necessary to reflect best practices, organizational changes, or feedback from users.

7. References

- Case Management Policy
- Data Protection Guidelines
- Organizational Risk Assessment Matrix