SOP: Document Intake and Categorization Procedures

This SOP describes the **document intake and categorization procedures**, outlining the systematic process for receiving, reviewing, and classifying documents to ensure effective organization and retrieval. It covers steps for verifying document completeness, assigning appropriate categories or tags, maintaining accurate records, and ensuring compliance with organizational standards and data management policies, thereby enhancing workflow efficiency and information accessibility.

1. Purpose

To establish a clear, consistent process for the intake, verification, categorization, and recording of documents, ensuring compliance with organizational guidelines and efficient document management.

2. Scope

This procedure applies to all staff involved in document handling, including (but not limited to) administrative, operations, and compliance personnel.

3. Responsibilities

- **Document Handler:** Receives, verifies, and categorizes incoming documents.
- **Supervisor:** Reviews document categorization and ensures compliance with policies.
- **Records Manager:** Maintains document logs and performs periodic audits.

4. Procedure

1. **Document Intake**
   - Receive documents via designated channels (email, mail, in-person, electronic uploads, etc.).
   - Log the date and source of receipt in the intake register or electronic document management system (EDMS).

2. **Verification**
   - Check documents for completeness and legibility.
   - Ensure required supporting documents are attached (refer to **Appendix A: Document Requirements**).
   - Report missing or illegible documentation to the sender/requestor.

3. **Categorization**
   - Assign a document type or category based on organizational taxonomy (e.g., contracts, invoices, personnel records).
   - Apply relevant tags/metadata for sorting and retrieval (e.g., date, department, confidentiality level).

4. **Record Maintenance**
   - Update document logs in the document management system or register.
   - Ensure accurate entry of all document identifiers and classification metadata.

5. **Compliance and Security**
   - Handle documents according to security protocols (e.g., access controls, encryption for sensitive documents).
   - Follow records retention policies and disposal procedures as outlined by the organization.

5. Documentation & Records

Document/Register	Responsibility	Retention Period
Intake Register/Log	Document Handler	As per records management policy
Categorization Checklist	Document Handler	Until processing completion
Audit Logs	Records Manager	2 years

6. Review and Audit

- Records manager to perform quarterly audits of document logs and classification accuracy.
- Non-conformities or process failures to be recorded and corrective actions undertaken.

7. References

- Organizational Data Management Policy
- Records Retention Schedule
- Information Security Guidelines

Appendix A: Document Requirements (Sample)

Document Type	Required Components	Acceptable Formats
Invoice	Invoice number, date, vendor, itemized amounts	PDF, Scan
Contract	Signed agreement, terms, parties involved	PDF, Original Hardcopy
Personnel Record	Employee info, ID proof, signed forms	PDF, Image, Print