

SOP Template: Incident Closure and Follow-up Reporting Requirements

This SOP details the **incident closure and follow-up reporting requirements**, including procedures for documenting the resolution of incidents, verifying corrective actions, communicating outcomes to relevant stakeholders, conducting post-incident evaluations, and ensuring compliance with organizational and regulatory standards. The goal is to ensure all incidents are thoroughly closed out and lessons learned are integrated to prevent recurrence.

1. Purpose

To ensure consistent, thorough, and compliant closure of all incidents and to facilitate learning to prevent recurrence.

2. Scope

This SOP applies to all staff involved in incident management, including supervisors, incident managers, and compliance personnel.

3. Responsibilities

- **Incident Manager:** Oversees the closure process and ensures documentation accuracy.
- **Responsible Parties:** Ensure corrective actions are completed and documented.
- **Compliance Team:** Verifies closure and regulatory compliance.

4. Procedures

1. **Incident Documentation**
 - Complete all required fields in the incident report form.
 - Attach supporting evidence demonstrating resolution steps (photos, logs, correspondence).
2. **Verification of Corrective Actions**
 - Responsible party confirms completion of corrective/preventive actions.
 - Incident Manager reviews and verifies effectiveness before closure.
3. **Stakeholder Communication**
 - Communicate closure details and outcome to relevant stakeholders (team, affected parties, leadership).
 - Document communications (emails, meetings) in the incident record.
4. **Post-Incident Evaluation**
 - Conduct a review meeting to identify lessons learned and areas for improvement.
 - Record agreed action items and assign responsibilities with deadlines.
5. **Compliance Review**
 - Compliance Team verifies that process and reporting align with internal and external requirements.
 - Ensure regulatory reports are filed if applicable.
6. **Formal Closure**
 - Incident Manager updates the incident status to "Closed" in the incident management system.
 - Archive all records according to the retention policy.

5. Documentation and Reporting

Required Document	Description	Responsible Owner
Incident Report Form	Comprehensive log of the incident, resolutions, and supporting details	Incident Manager
Corrective Action Evidence	Proof of actions taken to resolve the incident	Responsible Party
Post-Incident Review Summary	Notes/actions from evaluation and lessons learned	Compliance Team
Closure Notification	Communication to relevant stakeholders about resolution and closure	Incident Manager

6. Compliance and Retention

- All documentation must be retained according to the organization's data retention policy.
- Ensure adherence to all applicable regulations and standards for incident management and reporting.

7. Continuous Improvement

- Regularly review incident closure procedures for effectiveness.
- Update SOP as needed based on review outcomes and changes in regulatory requirements.

Note: All staff involved in incident management must be trained on this SOP and demonstrate competence in closure and reporting procedures.