

SOP Template: Investigation and Verification Steps for Complaints

This SOP details the **investigation and verification steps for complaints**, focusing on the systematic process of receiving, documenting, and evaluating complaints. It includes initial assessment, evidence gathering, interviewing relevant parties, verifying facts, maintaining confidentiality, and ensuring fair and unbiased resolution. The objective is to establish a transparent and effective complaint handling procedure that promotes accountability and trust.

1. Purpose

To outline a standardized and reliable process for investigating and verifying complaints, ensuring all complaints are managed with integrity, confidentiality, and impartiality.

2. Scope

This SOP applies to all personnel involved in handling, investigating, and resolving complaints within the organization.

3. Definitions

Term	Definition
Complaint	A formal expression of dissatisfaction or concern raised by any stakeholder.
Investigation	The systematic process of fact-finding to assess the validity of a complaint.
Verification	The process of confirming the accuracy and truthfulness of the facts related to a complaint.

4. Procedure

- Complaint Receipt and Acknowledgment**
 - Receive complaint through designated channels (e.g., email, hotline, online form).
 - Acknowledge receipt to the complainant within the defined timeframe.
 - Assign a unique complaint reference number.
- Initial Assessment**
 - Review the details of the complaint for clarity and completeness.
 - Determine if the complaint falls within the scope and if immediate actions are needed.
- Documentation**
 - Log the complaint in the complaint management system.
 - Collect and file all supporting documents, correspondence, and evidence.
- Evidence Gathering**
 - Identify and secure relevant physical, digital, or testimonial evidence.
 - Ensure preservation of evidence integrity.
- Interviews and Fact-Finding**
 - Interview complainant and relevant parties (witnesses, involved staff, etc.).
 - Document all discussions and statements accurately.
- Verification of Facts**
 - Cross-check gathered information for consistency and accuracy.
 - Consult with subject matter experts as needed.
- Confidentiality and Impartiality**
 - Maintain confidentiality of all parties throughout the process.
 - Ensure investigation is conducted without bias or conflict of interest.
- Resolution and Reporting**
 - Analyze findings and determine the appropriate action or resolution.

- Prepare an investigation report with evidence, findings, and recommendations.
 - Communicate outcome to the complainant and relevant stakeholders in a timely manner.
9. **Closure and Record-Keeping**
- Formally close the case after implementing agreed corrective actions.
 - Retain all records securely for future reference and compliance.

5. Roles and Responsibilities

Role	Responsibility
Complaint Handler	Receive, document, and manage the initial assessment of complaints.
Investigator	Conduct detailed investigation, evidence collection, interviews, and fact verification.
Supervisor/Manager	Review and approve investigation findings; ensure fair process.
Compliance Officer	Monitor process adherence, ensure confidentiality, and oversee compliance with policies.

6. References

- Complaint Handling Policy
- Data Privacy and Confidentiality Policy
- Applicable Regulatory Requirements