

Standard Operating Procedure (SOP)

Complaint Intake and Initial Documentation Procedures

This SOP details the **complaint intake and initial documentation procedures**, covering the steps for receiving, recording, and acknowledging complaints. It outlines the process for accurately capturing complainant information, categorizing the nature of complaints, ensuring confidentiality, and maintaining proper documentation. The goal is to facilitate timely and effective complaint management by establishing a clear, consistent approach to complaint intake and initial data handling.

1. Purpose

To ensure a standardized, effective, and confidential process for receiving, recording, and responding to all complaints.

2. Scope

This procedure applies to all staff responsible for handling complaint intake and documentation within the organization.

3. Responsibilities

- **Frontline Staff:** Receive and preliminarily document complaints.
- **Complaint Officer:** Verify, categorize, and complete documentation.
- **Management:** Review, ensure compliance, and oversee improvement.

4. Procedure

1. **Complaint Receipt**
 - Accept complaints through all recognized channels (e.g., in-person, phone, email, online form).
 - Acknowledge receipt to the complainant immediately or within one business day.
2. **Initial Documentation**
 - Record the complaint using the standard Complaint Intake Form (see Section 6).
 - Collect the following minimum information:
 - Complainant's name and contact information
 - Date and time of complaint
 - Nature and summary of the complaint
 - Relevant evidence or supporting documents, if any
3. **Categorization and Confidentiality**
 - Categorize the complaint by type (e.g., service, personnel, policy, other).
 - Ensure all documents and information are treated confidentially according to organizational policy.
4. **Documentation and Storage**
 - Assign a unique reference number to each complaint.
 - Store all records in the designated secure system or file.
5. **Follow-up and Handover**
 - Forward the documented complaint promptly to the relevant department or officer for further action.

5. Documentation and Record-Keeping

- All complaint records must be accurate, complete, and retained per the organization's retention policy.
- Only authorized personnel may access complaint documentation.

6. Sample Complaint Intake Form

Field	Description
Complaint Reference No.	Unique ID assigned to each complaint
Date/Time Received	Date and time when the complaint was received
Complainant Name	Name of the individual lodging the complaint
Contact Information	Phone/email/address of complainant
Complaint Category	Service / Personnel / Policy / Other (specify)

Complaint Details	Summary of the complaint, including incident details
Supporting Evidence	List of attached evidence or documents, if any
Received by (Staff Name)	Name of the person who received the complaint
Signature/Date	Signature and date for record validation

7. Confidentiality

- All information related to complaints should be handled in compliance with privacy regulations and internal confidentiality policies.

8. Revision History

Version	Date	Description	Author
1.0	2024-06-01	Initial version	[Author Name]