

Standard Operating Procedure (SOP)

Complaint Handling and Resolution Process

This SOP details the **complaint handling and resolution process**, outlining procedures for receiving, documenting, investigating, and resolving customer complaints efficiently. It ensures timely communication, fair assessment, and appropriate corrective actions to enhance customer satisfaction and maintain service quality. The process includes steps for escalating unresolved issues and monitoring outcomes to prevent recurrence and improve overall organizational responsiveness.

1. Purpose

To provide a standardized approach for handling customer complaints, ensuring efficient, fair, and consistent resolution of issues while identifying opportunities for service improvement.

2. Scope

This SOP applies to all staff and departments involved in the receipt, assessment, investigation, and resolution of customer complaints.

3. Definitions

- **Complaint:** Any expression of dissatisfaction related to the organization's products, services, or staff.
- **Complainant:** The individual or entity lodging the complaint.
- **Resolution:** The outcome or response provided to address the complaint.
- **Escalation:** Referral of an unresolved or complex complaint to higher authority or specialist.

4. Responsibilities

Role	Responsibility
Frontline Staff	Receive and document complaints; attempt immediate resolution if appropriate.
Complaint Handler/Coordinator	Investigate, coordinate communication, and ensure proper documentation.
Department Manager	Oversee process, approve resolutions, manage escalation as needed.
Quality/Compliance Team	Review trends, ensure process adherence, recommend improvements.

5. Procedure

- Receiving the Complaint**
 - Accept complaints via all designated channels (in person, phone, email, online, etc.).
 - Record basic details: complainant's name, contact information, date, nature of complaint.
- Documenting the Complaint**
 - Enter complaint details in the Complaint Log or relevant system promptly.
 - Assign a unique reference number for tracking.
- Acknowledgment**
 - Acknowledge receipt to the complainant within [1-2] business days, outlining expected timelines and process.
- Investigation**
 - Assess the complaint and conduct a thorough investigation, including gathering facts from involved parties.
 - Document findings and actions in the Complaint Log.
- Resolution**
 - Determine corrective actions and communicate proposed resolution to the complainant.
 - Implement agreed resolution promptly.
- Escalation (if needed)**
 - If the complaint cannot be resolved at the initial level, escalate to the appropriate authority per escalation matrix.
- Closure**
 - Confirm resolution with the complainant and document closure in the system.
 - Solicit feedback on the process, if practicable.
- Follow-up and Monitoring**
 - Track recurrence of complaints on similar issues.
 - Review outcomes in periodic quality meetings for continuous improvement.

6. Escalation Matrix

Level	Description	Responsible
Level 1	Frontline Staff attempt initial resolution	Frontline Staff/Supervisor
Level 2	Complex/unresolved issues	Complaint Handler/Department Manager
Level 3	High-risk/significant issues or repeated complaints	Head of Department/Compliance Team

7. Records & Documentation

- All complaints and actions must be recorded in the designated Complaint Log or system.
- Maintain records in accordance with data protection and organizational policies.

8. Review & Continuous Improvement

- Regularly review this SOP and adapts as necessary based on complaint trends and stakeholder feedback.
- Utilize complaint data for staff training and process enhancement.

9. References

- [Insert relevant policy documents, standards, or regulatory guidelines]

10. Revision History

Version	Date	Description of Changes	Approved By
1.0	[YYYY-MM-DD]	Initial Release	[Name/Title]