

SOP Template: Complaint Closure and Record-Keeping Requirements

This SOP details the **complaint closure and record-keeping requirements**, encompassing the procedures for resolving customer complaints efficiently, documenting the resolution process, maintaining accurate records, ensuring compliance with company policies and legal regulations, and facilitating continuous improvement through proper tracking and auditing of complaint data. The goal is to enhance customer satisfaction and uphold accountability by systematically managing and closing complaints.

1. Purpose

To ensure all customer complaints are managed, resolved, and documented in a consistent, compliant, and efficient manner, facilitating accountability, traceability, and continuous process improvement.

2. Scope

This procedure applies to all employees involved in the handling, resolution, and documentation of customer complaints.

3. Responsibilities

- **Complaint Handler:** Responsible for receiving, investigating, and resolving complaints.
- **Quality Assurance:** Ensures accurate recording, retention, and regular review of complaints.
- **Management:** Oversees complaint trends, auditing, and implementation of corrective/preventive actions.

4. Procedure

1. **Complaint Closure**
 - a. Verify all complaint details, investigation notes, and resolutions are complete and accurate.
 - b. Inform the customer of the resolution and close the complaint in the system.
 - c. Obtain confirmation of closure from the customer, where appropriate.
2. **Documentation**
 - a. Update the complaint log with all relevant information, including investigation results, actions taken, and closure confirmation.
 - b. Attach all supporting documents (e.g., communication records, investigation reports) to the complaint record.
3. **Record-Keeping**
 - a. Maintain complaint records in the designated system or repository as per company policy.
 - b. Ensure all records are accurate, complete, and secured to prevent unauthorized access.
 - c. Retain records for the specified period (e.g., minimum 3 years) as per legal and regulatory requirements.
4. **Compliance & Auditing**
 - a. Regularly review and audit complaint records for accuracy and completeness.
 - b. Identify complaint trends and areas for process improvement.
 - c. Report findings to management and implement corrective actions when necessary.

5. Documentation & Records

Document/Record	Storage Location	Retention Period
Complaint Log	Complaint Management System	3 years
Investigation Reports	Document Repository	3 years
Customer Correspondence	Email/CRM System	3 years
Audit Reports	Quality Assurance Files	5 years

6. References

- Company Complaints Handling Policy
- QA Manual
- Applicable Regulatory Requirements

7. Revision History

Version	Date	Description	Author
1.0	2024-06-18	Initial creation	SOP Team