

SOP Template: Initial Complaint Documentation and Logging

This SOP details the process for **initial complaint documentation and logging**, including receiving complaints, accurately recording details, assigning reference numbers, verifying complaint authenticity, and securely storing complaint records. The objective is to ensure all complaints are systematically documented and managed to facilitate efficient resolution and maintain accountability.

1. Purpose

To establish a standardized process for documenting and logging complaints to ensure accurate, consistent, and secure complaint handling.

2. Scope

This SOP applies to all personnel responsible for complaint intake, documentation, and logging.

3. Responsibilities

- **Complaint Handler:** Receives, documents, and logs complaints.
- **Supervisor:** Verifies completeness and authenticity of complaint documentation.
- **Records Officer:** Ensures secure storage of complaint records.

4. Procedure

1. **Receiving a Complaint**
 - Accept complaints through designated channels (e.g., email, phone, in-person, web form).
 - Record the date and time of receipt.
2. **Documenting Complaint Details**
 - Collect complainant's full name, contact information, and preferred communication channel.
 - Accurately capture all details of the complaint, including facts and supporting evidence.
 - Ensure information is legible and complete.
3. **Assigning Reference Number**
 - Generate a unique complaint reference number using the prescribed format (e.g., [YYMMDD]-[Sequential Number]).
 - Communicate the reference number to the complainant.
4. **Verifying Complaint Authenticity**
 - Confirm identity of complainant through available means.
 - Cross-check complaint details for consistency and validity where applicable.
5. **Secure Storage of Records**
 - File complaint records in the designated complaint management system.
 - Limit access to authorized personnel only.
 - Back up electronic records regularly and store physical documents in secure locations.
6. **Logging and Tracking**
 - Enter complaint into the complaint log, including all relevant fields (see example table below).
 - Update log with subsequent actions and status changes.

5. Complaint Log Example

Reference No.	Date Received	Complainant	Complaint Summary	Status
240601-001	2024-06-01	Jane Smith	Product malfunctioned within warranty period	Received

6. Records Retention

All complaint documentation must be retained according to the company's records retention policy and relevant regulatory requirements.

7. Revision History

Version	Date	Description	Author
1.0	2024-06-01	Initial SOP release	Compliance Dept.