

# SOP: Complaint Resolution and Incident Reporting

This SOP provides a structured approach to **complaint resolution and incident reporting**, ensuring timely and effective handling of complaints and incidents. It outlines procedures for receiving, documenting, investigating, and resolving complaints, while maintaining clear communication with all parties involved. The SOP also emphasizes proper incident reporting protocols to promote transparency, accountability, and continuous improvement within the organization.

## 1. Purpose

To establish standard procedures for complaint resolution and incident reporting to ensure all matters are handled promptly, fairly, and transparently, supporting continuous organizational improvement.

## 2. Scope

This SOP applies to all employees, customers, and stakeholders involved in the reporting, investigation, and resolution of complaints and incidents within the organization.

## 3. Definitions

Term	Definition
Complaint	A formal expression of dissatisfaction regarding a product, service, or process.
Incident	An unplanned event that may result in harm, damage, or deviation from standard operating procedures.
Complainant	The individual or entity raising the complaint.
Responsible Officer	The staff member(s) assigned to manage and resolve the complaint or incident.

## 4. Responsibilities

- **All Employees:** Report complaints and incidents as per this SOP.
- **Responsible Officer:** Oversee documentation, investigation, and resolution.
- **Management:** Ensure compliance and provide necessary support and resources.

## 5. Procedure

### 5.1 Receiving Complaints and Incident Reports

1. Complaints or incidents can be received via email, phone, in person, or through an online portal.
2. Acknowledge receipt to the complainant/reporter within 24 hours.
3. Assign a unique reference number to each complaint or incident.

### 5.2 Documentation

1. Record all relevant details in the Complaint/Incident Log, including date, time, nature, involved parties, and initial actions taken.
2. Maintain confidentiality and data protection as per organizational policy.

### 5.3 Investigation

1. The Responsible Officer initiates a fact-finding investigation within 2 business days.
2. Gather statements, review related documents, and collect evidence.
3. Maintain impartiality and fairness throughout the investigation process.

### 5.4 Resolution

1. Develop a resolution plan based on investigation findings.
2. Review and approve by relevant management.
3. Communicate resolution and actions taken to the complainant/reporter.

4. Document actions, outcomes, and any follow-up required.

## 5.5 Follow-Up and Continuous Improvement

1. Monitor implementation of corrective or preventive actions.
2. Update policies and procedures as needed based on lessons learned.
3. Report summary data to management for review and process improvement.

## 6. Recordkeeping

- Maintain all records of complaints, incidents, investigations, and resolutions securely for a minimum of [X] years.
- Restrict access to authorized personnel only.

## 7. Review

This SOP will be reviewed annually or as needed to ensure effectiveness and compliance with regulations.

## 8. References

- Company Policy Manual
- Relevant Regulatory Requirements

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*Approved by:* [Name/Title]

*Date of Approval:* [Date]