

SOP Template: Documentation and Reporting Requirements for Complaints

This SOP details the **documentation and reporting requirements for complaints**, including the procedures for accurately recording complaint details, maintaining confidentiality, tracking complaint status, and ensuring timely communication with relevant parties. The goal is to facilitate effective complaint resolution, compliance with regulatory standards, and continuous improvement through consistent and transparent reporting practices.

1. Purpose

To establish a standardized process for documentation and reporting of complaints, ensuring regulatory compliance, transparency, and ongoing process improvement.

2. Scope

This SOP applies to all staff handling complaints, including customer service, quality assurance, and management personnel.

3. Responsibilities

- **All Staff:** Immediately report complaints as per this SOP.
- **Complaint Handler:** Record and update complaint details.
- **Quality Assurance:** Audit records and reports for accuracy and completeness.
- **Management:** Review reports and oversee complaint resolution process.

4. Procedure

4.1 Receiving Complaints

- Accept complaints through authorized channels (email, phone, in-person, web form, etc.).
- Acknowledge receipt of the complaint to the complainant within **24 hours**.

4.2 Documenting Complaint Details

1. Record complaint details in the Complaint Log/form (see Section 7 Template).
 - Date and time received
 - Name and contact details of complainant (if provided)
 - Nature and description of complaint
 - Reference number (unique identifier)
 - Staff member who received the complaint
2. Assign a status: *Open, Under Investigation, Resolved, Closed*.
3. Maintain confidentiality at all times-restrict access to authorized personnel only.

4.3 Tracking & Status Updates

- Update the status and actions taken at every stage.
- Escalate unresolved or complex complaints to management as per escalation matrix.

4.4 Reporting Requirements

- Generate periodic complaint reports (monthly/quarterly).
- Reports should summarize:
 - Number and type of complaints received
 - Status (open/resolved/closed)

- Trends and areas for improvement
- Distribute reports to management, quality team, and other relevant parties.

5. Confidentiality & Record Retention

- Store complaint records securely (electronic or physical), accessible only to authorized staff.
- Retain records for a minimum of **three (3) years** or as specified by regulations.
- Dispose of records as per organization's data protection policy.

6. Continuous Improvement

- Analyze complaint data for trends and recurring issues.
- Identify root causes and recommend corrective/preventive actions.
- Review and update this SOP annually or as needed.

7. Complaint Log Template

Reference No.	Date Received	Complainant Name	Contact	Description	Status	Actions Taken	Responsible Staff	Date Closed
2024-001	2024-05-20	Jane Smith	jsmith@email.com	Product arrived damaged	Closed	Replacement sent	J. Doe	2024-05-23

8. References

- Organization's Data Protection Policy
- Relevant regulatory and compliance standards
- Company Escalation Matrix

9. Revision History

Date	Version	Description of Change	Approved By
2024-06-01	1.0	Initial version	M. Lee