

# SOP: Complaint Receipt and Documentation Procedures

This SOP details the **complaint receipt and documentation procedures**, including the methods for receiving complaints, proper documentation practices, maintaining confidentiality, tracking complaint status, and ensuring timely resolution. The goal is to establish a clear and efficient process for handling complaints to improve customer satisfaction and organizational accountability.

## 1. Purpose

To define standardized procedures for receiving, documenting, and tracking complaints to ensure they are managed confidentially, efficiently, and resolved promptly.

## 2. Scope

This procedure applies to all employees involved in receiving, documenting, and managing customer or internal complaints across the organization.

## 3. Responsibilities

- **All Staff:** Forward complaints to the designated recipient promptly.
- **Complaint Handling Officer:** Document, maintain, and monitor complaint records.
- **Management:** Oversee implementation, evaluate outcomes, and ensure compliance.

## 4. Procedures

- 1. Complaint Receipt**
  - Receive complaints via:
    - Email
    - Phone
    - In person
    - Online forms
    - Written correspondence
  - Acknowledge receipt to the complainant within 2 business days.
- 2. Documentation**
  - Record the complaint in the Complaints Register (see Table 1 below).
  - Include details: date received, complainant info, nature of the complaint, actions taken, responsible personnel, and resolution status.
  - Assign a unique complaint identification number to each new entry.
- 3. Confidentiality**
  - Restrict access to complaint documentation to authorized personnel only.
  - Store records securely (password-protected digital systems or locked files).
- 4. Status Tracking**
  - Regularly update the status of each complaint (e.g., Received, In Progress, Resolved, Closed).
  - Monitor follow-up actions and ensure that deadlines are met.
- 5. Timely Resolution**
  - Investigate complaints within 5 business days of receipt.
  - Communicate findings and resolution steps to the complainant within 10 business days.
  - Escalate unresolved complaints to management as necessary.

## 5. Complaint Register Template

Complaint ID	Date Received	Complainant Details	Complaint Description	Assigned To	Status	Date Resolved	Remarks
CMP-001	2024-06-15	John Doe john@example.com	Delay in service delivery	Jane Smith	In Progress	-	Pending further info

## 6. Review & Improvement

- Conduct quarterly reviews of the complaints process and register.
- Identify trends or systemic issues and implement corrective actions.
- Update procedures as necessary for continuous improvement.

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