

# SOP Template

## Documentation, Review, and Closure of Complaint Case

This SOP details the procedures for **documentation, review, and closure of complaint cases**, ensuring accurate recording of complaints, systematic evaluation and investigation, timely resolution, and proper case closure. It aims to maintain transparency, accountability, and continuous improvement by handling complaints efficiently and effectively.

### 1. Purpose

To standardize the process of documenting, reviewing, investigating, resolving, and closing complaint cases in compliance with organizational policies and regulatory requirements.

### 2. Scope

This SOP applies to all employees, departments, and units handling customer or internal complaints within the organization.

### 3. Responsibilities

- **Complaint Handler:** Record and document all incoming complaints.
- **Complaint Reviewer/Investigator:** Evaluate, investigate, and coordinate resolution for complaints.
- **Compliance/Quality Assurance Officer:** Validate the process, ensure proper closure, and oversee corrective actions.
- **Department Manager:** Monitor complaint trends and initiate preventive measures.

### 4. Procedure

| Step                    | Description  | Responsible        | Timeline               |
|-------------------------|--|--------------------|------------------------|
| 4.1 Complaint Receipt   | Receive complaint via designated channels (email, phone, portal, etc.)   | Complaint Handler  | Day 0                  |
| 4.2 Documentation       | Document details: complainant info, nature of complaint, date/time, supporting evidence<br>Assign unique case number | Complaint Handler  | Within 1 business day  |
| 4.3 Acknowledgement     | Acknowledge receipt of complaint to complainant (automated or manual)<br>Provide estimated resolution time           | Complaint Handler  | Within 2 business days |
| 4.4 Review & Assessment | Initial review to assess complaint validity, categorize severity, and assign investigator                            | Complaint Reviewer | Within 3 business days |

|                              |   |                         |                         |
|------------------------------|---|-------------------------|-------------------------|
| 4.5 Investigation            | Conduct investigation: gather facts, interview parties, review records, and analyze evidence                          | Investigator            | Within 10 business days |
| 4.6 Resolution               | Determine findings, propose resolutions, communicate outcome to complainant, implement corrective actions as required | Investigator/Department | Within 15 business days |
| 4.7 Documentation of Actions | Update all actions and correspondence in complaint register/case file   | Complaint Handler       | Ongoing                 |
| 4.8 Case Closure             | Validate resolution, close case in system, document closure reason, notify all relevant stakeholders                  | Quality/Compliance      | Upon resolution         |
| 4.9 Review & Learning        | Conduct periodic review of closed cases to identify trends and opportunities for process improvement                  | Department Manager      | Quarterly               |

## 5. Records

- Complaint Register/Log
- Case Files (including investigation notes, evidence, communication records)
- Resolution & Closure Forms

## 6. References

- Company Complaint Management Policy
- Relevant Regulatory Guidelines
- Quality Manual

## 7. Revision History

| Version | Date       | Description of Change | Author      |
|---------|------------|-----------------------|-------------|
| 1.0     | 2024-06-12 | Initial creation      | [Your Name] |