

# Standard Operating Procedure (SOP)

## Issue Resolution and Escalation Procedures

This SOP details the **issue resolution and escalation procedures**, outlining steps for identifying, documenting, and addressing problems efficiently. It includes guidelines for initial issue assessment, internal communication protocols, escalation triggers and levels, roles and responsibilities, and documentation requirements to ensure timely and effective resolution while maintaining accountability and enhancing organizational problem-solving capabilities.

### 1. Purpose

To provide a standardized process for resolving issues and escalating problems efficiently within the organization.

### 2. Scope

This SOP applies to all employees involved in issue management and escalation processes.

### 3. Definitions

- **Issue:** Any event or problem that interferes with normal operations or project progress.
- **Escalation:** The process of involving higher-level authority or expertise when an issue cannot be resolved at the current level.
- **Resolution:** The successful handling and closure of an issue.

### 4. Procedures

- Issue Identification & Assessment**
  - Identify and clearly describe the issue, including impact and urgency.
  - Assign a unique reference number to the reported issue.
  - Assess whether the issue can be addressed at the current level or requires escalation.
- Documentation**
  - Record the issue in the designated tracking system (include date, time, description, reporter, and severity).
  - Update documentation as the issue progresses through the resolution process.
- Internal Communication**
  - Notify relevant stakeholders of the issue and actions being taken.
  - Maintain clear communication channels for updates and status reports.
- Issue Resolution Steps**
  - Attempt to resolve the issue at the initial support or operational level.
  - If resolved, document resolution details and close the issue in the log.
  - If not resolved, proceed to escalation.
- Escalation Process**
  - Refer to escalation matrix (see below) for appropriate triggers and responsible parties.
  - Document escalation details, including reason, date, and person responsible.
  - Notify next-level authority and provide all relevant issue information.
  - Continue to monitor and communicate status to stakeholders.
- Closure and Review**
  - Once resolved, update issue log with resolution and closure information.
  - Conduct a post-resolution review if applicable to identify lessons learned.

### 5. Roles & Responsibilities

Role	Responsibility
Issue Reporter	Identify and log the issue, provide initial information.
First-line Support/Team	Assess and attempt to resolve the issue; escalate if unresolved.
Escalation Manager	Review escalated issues, coordinate with relevant departments, ensure timely resolution.
Stakeholders	Receive updates, provide input as needed.

### 6. Escalation Triggers & Levels

Escalation Level	Trigger/Criteria	Action
Level 1 (Initial)	Issue identified at operational level, routine problems, low impact.	First-line support addresses issue per routine process.
Level 2 (Intermediate)	Issue unresolved within specified time frame or higher complexity.	Escalate to supervisor or specialist for additional support.
Level 3 (Critical)	High-impact, urgent issues affecting operations/business or risks of compliance breach.	Escalate to senior management/leadership team for immediate action.

## 7. Documentation Requirements

- All issues must be logged and tracked until closure.
- Escalation actions and communications must be documented.
- Resolution steps and final outcomes must be recorded for reference.

## 8. Review and Continuous Improvement

- This SOP will be reviewed annually or as needed based on feedback and changes in organizational processes.
- Lessons learned from each resolved issue should be used to update procedures and prevent recurrence.