

SOP: Notification and Escalation Protocols for Pending Approvals

This SOP details the **notification and escalation protocols for pending approvals**, outlining the systematic process for timely alerts and follow-ups to ensure all approvals are addressed within designated timeframes. It includes steps for initial notifications to responsible parties, criteria for escalations in case of delays, roles and responsibilities of involved personnel, communication channels to be used, and tracking mechanisms to monitor approval statuses. The objective is to enhance accountability, minimize approval bottlenecks, and support uninterrupted workflow progression across the organization.

1. Scope

This SOP applies to all processes within the organization that require formal approvals, including but not limited to finance, procurement, HR, and operations.

2. Roles and Responsibilities

Role	Responsibility
Initiator	Submits request for approval through the designated system.
Approver	Reviews and provides a decision on pending approvals within set timeframes.
Supervisor/Manager	Acts as escalation point if approver does not act in a timely manner.
System Administrator	Ensures notification system is functional and accurate.

3. Notification Protocol

- Initial Notification:**
Upon submission, an automatic notification is sent to the assigned approver via email and/or internal messaging system, indicating:
 - Request details
 - Date and time of submission
 - Required action and deadline for response
- Reminders:**
Automated reminders are sent at intervals (e.g., 24, 48, and 72 hours before the deadline) until the approval is completed.

4. Escalation Protocol

- Escalation Criteria:**
If an approval is not provided within the designated timeframe, the system initiates escalation.
- Escalation Steps:**
 - First Escalation:** Notification sent to the next-level manager/supervisor after deadline lapses by 24 hours.
 - Second Escalation:** Escalation to department head and notification to process owner if no action after 48 hours post-deadline.
 - Final Escalation:** Notification to executive management if unresolved after 72 hours post-deadline.

5. Communication Channels

- Email notifications (default)
- Internal approval platform alerts
- Optional: Mobile push notifications (if enabled)
- Escalations documented in centralized tracking system

6. Tracking and Monitoring

1. All approval requests and their statuses are tracked in the designated approval management system.
2. Weekly reports are generated for pending, escalated, and completed approvals for review by process owners.
3. System logs all notifications and escalation actions for audit purposes.

7. Review and Continuous Improvement

- This SOP is reviewed annually or upon significant process changes.
- Feedback from users and approvers is collected to refine notification and escalation protocols.

8. References

- Company Approval Policy
- Notification and Communication Policy
- Information Systems Manual