SOP: Categorization and Assessment of Complaints

This SOP details the **categorization and assessment of complaints**, outlining procedures for receiving, classifying, and prioritizing complaints based on their nature and severity. It ensures timely and effective evaluation to facilitate appropriate resolution, enhance customer satisfaction, and support continuous organizational improvement through systematic monitoring and reporting of complaint trends.

1. Purpose

To provide standardized procedures for categorizing, assessing, and prioritizing complaints to ensure effective resolution and continual improvement.

2. Scope

This SOP applies to all employees involved in receiving, recording, assessing, and resolving complaints across the organization.

3. Definitions

- **Complaint:** Any expression of dissatisfaction regarding products, services, processes, or staff.
- **Severity:** The level of impact or risk associated with the complaint.
- **Priority:** The urgency with which a complaint must be addressed based on its severity and potential impact.

4. Responsibilities

- **Frontline Staff:** Receive and document complaints.
- **Supervisor/Manager:** Review, categorize, and assign priority to complaints for resolution.
- **Quality/Compliance Team:** Monitor trends and report regularly on complaint handling effectiveness.

5. Procedure

1. **Receiving Complaints**
   - Record the complaint in the Complaints Register or digital complaint management system.
   - Collect all relevant details (complainant's information, description, date, and supporting documents).

2. **Categorization**
   - Classify the complaint based on source (internal/external), type (product, service, process, staff), and method of receipt (email, phone, verbal, written).
   - Use the following table for categorization:

Type	Examples
Product-related	Defect, malfunction, incorrect labeling
Service-related	Delays, poor communication, inadequate support
Process-related	Inefficiency, errors, policy violations
Staff-related	Behavioral issues, lack of professionalism

3. **Assessment and Prioritization**
   - Assess severity and potential impact (e.g., safety risk, financial loss, reputational damage).
   - Assign priority (High, Medium, Low):
     - **High:** Poses significant risk, requires immediate action.
     - **Medium:** Moderate impact, action needed within standard timeframes.
     - **Low:** Minimal impact, can be handled in routine workflow.

4. **Action and Resolution**
   - Assign responsible person/team for handling the complaint.
   - Document all actions taken and resolutions provided.
   - Ensure all high-priority complaints are escalated as per escalation policy.

5. **Monitoring and Reporting**

- Track all complaints and outcomes in the complaints log/system.
  - Regularly analyze trends and report findings to management.
  - Identify areas for process and service improvement based on trend analysis.

6. Documentation

- Complaint Register/System records
- Assessment and categorization forms
- Resolution and follow-up documentation
- Trend and status reports

7. Review

This SOP shall be reviewed annually or as required due to process or regulatory changes.

8. References

- Organizational complaint management policy
- Relevant regulatory guidelines