

# SOP Template: Complaint Closure and Record Maintenance

This SOP describes the **complaint closure and record maintenance** process, including procedures for resolving complaints effectively, documenting resolution steps, obtaining necessary approvals, communicating closure to complainants, and securely maintaining complaint records. The objective is to ensure transparent, timely, and accurate handling of complaints to enhance customer satisfaction and maintain compliance with organizational policies and regulatory requirements.

## 1. Purpose

To establish standard procedures for the closure of complaints and the secure maintenance of complaint records.

## 2. Scope

This procedure applies to all personnel involved in the management, resolution, closure, and documentation of complaints within the organization.

## 3. Responsibilities

- **Complaint Handler:** Investigate and resolve complaints, document actions taken, and initiate closure process.
- **Supervisor/Manager:** Review, approve closure, and ensure compliance with procedures.
- **Quality Assurance (QA):** Audit complaints for completeness and proper recordkeeping.

## 4. Definitions

- **Complaint:** Any expression of dissatisfaction related to the organization's products, services, or processes.
- **Closure:** The process of confirming that a complaint has been satisfactorily resolved and documented.
- **Record Maintenance:** Secure storage, retention, and retrieval of complaint records for the required period.

## 5. Procedure

### 1. Resolution of Complaint

- Investigate the complaint and identify root cause.
- Implement corrective and/or preventive actions as necessary.
- Document all steps and actions taken during the resolution process.

### 2. Documentation of Resolution

- Prepare a closure report summarizing resolution steps, actions taken, and final outcome.
- Attach all supporting documents (communications, investigation notes, evidence, etc.).

### 3. Review and Approval

- Submit the closure report and supporting documentation to the designated supervisor/manager.
- Supervisor/manager reviews the case for completeness and accuracy.
- Obtain signatures/approvals as required by organizational policy.

### 4. Communication of Closure

- Inform the complainant about the resolution and closure of the complaint.
- Provide a summary of actions taken and final outcome, if appropriate.

### 5. Record Maintenance

- Securely archive all complaint records in the designated system or storage location.
- Ensure records are indexed and retrievable for the required retention period (as per policy or regulatory requirements).
- Restrict access to authorized personnel only.

### 6. Periodic Review and Audit

- QA team conducts regular audits to ensure compliance with complaint handling and record management procedures.

## 6. Record Retention

Maintain complaint records for a minimum of **[X]** years from the date of closure or as specified by applicable regulations.

## 7. References

- Organizational Complaint Handling Policy
- Regulatory Requirements
- Document Control and Record Management SOP

## 8. Revision History

Version	Date	Description of Change	Approved by
1.0	[YYYY-MM-DD]	Initial issue	[Name/Title]