

# SOP Template: Complaint Handling and Incident Reporting

### Purpose:

This SOP describes **complaint handling and incident reporting** procedures, detailing the steps for receiving, documenting, investigating, and resolving complaints and incidents effectively. It emphasizes timely and transparent communication, ensuring accountability, and maintaining accurate records to improve organizational processes, customer satisfaction, and compliance with regulatory requirements.

### Scope:

This procedure applies to all employees, managers, and relevant stakeholders involved in the process of handling complaints and reporting incidents within the organization.

### Definitions:

- Complaint:** Any formal or informal expression of dissatisfaction received from a customer, client, staff member, or stakeholder.
- Incident:** Any unplanned event or occurrence that results in, or could lead to, undesired outcomes, including safety issues, process failures, or regulatory breaches.

### Responsibilities:

- Employees:** Report complaints and incidents promptly using established procedures.
- Managers/Supervisors:** Ensure all reports are documented, investigated, and addressed in a timely manner.
- Compliance/Quality Team:** Monitor trends, ensure regulatory compliance, and recommend process improvements.

### Procedure:

- Receiving Complaints/Incidents**
  - Accept all complaints and incident reports via designated channels (e.g., hotline, email, in-person, online form).
  - Acknowledge receipt within 24 hours.
- Documenting**
  - Record all relevant details using the approved Complaint/Incident Form (see template below).
  - Assign a unique reference ID to each case.
- Assessing & Prioritizing**
  - Evaluate the severity and potential impact.
  - Prioritize for escalation if urgent or high risk.
- Investigating**
  - Assign responsibility for fact-finding.
  - Gather statements, review evidence, and analyze causes.
- Resolving & Communicating**
  - Determine appropriate corrective/preventive actions.
  - Notify involved parties of outcomes and follow-ups in a timely and transparent manner.
- Record Keeping**
  - Store records securely for the required retention period.
  - Log outcomes and actions taken for future reference.
- Review and Improvement**
  - Regularly review complaints/incidents for trends and improvement opportunities.
  - Update procedures as needed for regulatory and organizational changes.

### Complaint/Incident Form Template:

Field	Description/Example
Date & Time	YYYY-MM-DD HH:MM
Reference ID	Unique identifier

Reported by	Name, title, contact info
Type	Complaint / Incident
Description	Summary of the issue/event
Location	Where it occurred
Persons Involved	Names/titles
Actions Taken	Immediate steps, if any
Investigation Findings	Brief summary
Resolution	Corrective/preventive actions, closure date
Follow-Up	Further monitoring if required

**References:**

- Relevant regulatory and legal requirements
- Company policies and codes of conduct

**Revision History:**

Version	Date	Description/Changes	Approved By
1.0	2024-06-14	Initial release	[Name/Title]