

SOP Template: Initial Complaint Assessment and Classification

This SOP details the **initial complaint assessment and classification** process, including intake procedures, preliminary evaluation criteria, categorization based on severity and urgency, documentation requirements, and assignment protocols. The goal is to ensure all complaints are systematically reviewed, accurately classified, and appropriately prioritized to facilitate timely and effective resolution.

1. Purpose

To provide a standardized approach for the intake, assessment, classification, documentation, and assignment of complaints to ensure timely and appropriate response.

2. Scope

This SOP applies to all staff responsible for handling customer or stakeholder complaints from receipt through to initial review and classification.

3. Definitions

- **Complaint:** Any expression of dissatisfaction, concern, or grievance regarding products, services, or processes.
- **Severity:** The level of negative impact caused by the complaint.
- **Urgency:** The required speed of response to address the issue effectively.

4. Procedure

4.1 Complaint Intake

1. Receive complaint via designated channels (e.g., email, phone, web form, in-person).
2. Record essential information (date, complainant details, nature of complaint, supporting documents, etc.) in the Complaint Management System (CMS).

4.2 Preliminary Evaluation

1. Review the complaint description, relevant history, and attached evidence.
2. Determine applicability and sufficiency of details; request clarification if necessary.

4.3 Classification Criteria

Category	Description	Examples
Severity - High	Serious impact, potential legal risk, significant service disruption.	Security breach, data loss, regulatory non-compliance.
Severity - Medium	Moderate impact, affects service quality but not critical operations.	Service delays, repeated errors, moderate dissatisfaction.
Severity - Low	Minor impact, inconvenience but no significant disruption.	Isolated incident, single-user issue.
Urgency - Urgent	Requires immediate attention to prevent escalation.	Customer safety at risk, time-sensitive obligations.
Urgency - Standard	Response required within standard timeframe.	General complaints, feedback.

4.4 Documentation

- Ensure all details are accurately entered into CMS, including classification, summary, and supporting

documents.

- Assign a unique reference number to each complaint.

4.5 Assignment Protocol

1. Assign complaint to the designated department or responsible officer based on classification.
2. Communicate acknowledgment of receipt and next steps to the complainant within the defined timeframe.

5. Roles and Responsibilities

- **Intake Officer:** Receives, records, and conducts initial assessment of complaints.
- **Complaint Review Team:** Confirms classification and ensures proper follow-up and assignment.
- **Department Head:** Addresses assigned complaints and oversees timely and effective resolution.

6. Documentation and Records

- All complaints and accompanying information must be securely stored in the CMS.
- Maintain records of classification, actions taken, and resolution outcomes for compliance and analysis.

7. Review and Continuous Improvement

- Regularly review the complaint assessment and classification process for efficiency and effectiveness.
- Update the SOP based on feedback and incident trends.