

SOP Template: Closure, Documentation, and Reporting of Complaint Case

This SOP details the **closure, documentation, and reporting of complaint case** procedures, encompassing the systematic steps for finalizing complaint investigations, accurately documenting all findings and actions taken, and timely reporting to relevant stakeholders. The goal is to ensure transparency, accountability, and effective resolution of complaints while maintaining comprehensive records for future reference and compliance purposes.

1. Purpose

To establish a clear process for the closure, documentation, and reporting of complaint cases, ensuring all cases are handled consistently, efficiently, and in compliance with regulatory and organizational standards.

2. Scope

This SOP applies to all complaint cases received, investigated, and resolved within the organization. It covers final investigation steps, documentation, storage of records, and communication of outcomes.

3. Responsibilities

Role	Responsibility
Complaint Handler	Finalize investigation, prepare documentation, and initiate closure.
Supervisor/Manager	Review findings, approve closure, and ensure compliance with this SOP.
Quality Assurance	Audit records and validate completeness and accuracy.
Records Management	Archive all documents as per retention policy.

4. Definitions

- **Complaint Case:** Any formal expression of dissatisfaction by a customer or stakeholder regarding products, services, or processes.
- **Closure:** The formal conclusion of a complaint investigation, with all corrective actions complete.
- **Documentation:** Recorded evidence of investigation, findings, actions, and communications related to the case.
- **Reporting:** Communicating the case status, results, and actions taken to relevant parties.

5. Procedure

1. **Final Review**
 - Confirm all investigation steps are completed and findings recorded.
 - Verify that corrective and preventive actions have been implemented and documented.
2. **Preparation for Closure**
 - Complete the Complaint Case Closure Form, capturing all required information.
 - Attach supporting evidence, including investigation notes, communication records, and action logs.
 - Obtain necessary approvals from responsible authorities (e.g., Manager, Quality Assurance).
3. **Documentation**
 - Ensure that all records are legible, complete, and stored according to the Records Management Policy.
 - Log the case status as 'Closed' in the complaint tracking system with final remarks.
4. **Reporting**
 - Inform the complainant of the resolution and actions taken, providing a summary report as required.
 - Notify internal stakeholders and file periodic summary reports to management and regulatory authorities as needed.
5. **Archiving**

- Transfer all physical and electronic case files to the designated archive location.
- Retain records in accordance with the organization's document retention policy.

6. Documentation and Records

- Complaint Case Closure Form
- Supporting Evidence (emails, investigation reports, correspondence, etc.)
- Complaint Database/Tracking System Entries
- Summary Reports to stakeholders and regulatory agencies

7. References

- Complaint Management Policy
- Records Management/Document Retention Policy
- Relevant Regulatory Guidelines

8. Revision History

Version	Date	Description	Approved by
1.0	2024-06-10	Initial Template	[Name/Title]