
**Quality management — Customer
satisfaction — Guidelines for
complaints handling in organizations**

*Management de la qualité — Satisfaction des clients — Lignes
directrices pour le traitement des réclamations dans les organismes*

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information

The committee responsible for this document is ISO/TC 176, *Quality management and quality assurance*, Subcommittee SC 3, *Supporting technologies*.

This second edition ~~cancels and replaces the first edition (ISO 10002:2004)~~, of which it constitutes a minor revision. It also incorporates the Technical Corrigendum ISO 10002:2004/Cor.1:2009.

Introduction

0.1 General

This International Standard provides guidance for the design and implementation of an effective and efficient complaints-handling process for all types of commercial or non-commercial activities, including those related to electronic commerce. It is intended to benefit an organization and its customers, complainants, and other interested parties.

The information obtained through the complaints-handling process can lead to improvements in products and processes and, where the complaints are properly handled, can improve the reputation of the organization, regardless of size, location, and sector. In a global marketplace, the value of an International Standard becomes more evident since it provides confidence in the consistent treatment of complaints.

An effective and efficient complaints-handling process reflects the needs of both the organizations supplying products and those who are the recipients of those products.

NOTE In ISO 9000:2005, “product” is defined as the “result of a process” which encompasses four generic product categories: services, software, hardware and processed materials. Throughout the text of this International Standard, wherever the term “product” is used, it can also mean “service”.

The handling of complaints through a process as described in this International Standard can enhance customer satisfaction. Encouraging customer feedback, including complaints if customers are not satisfied, can offer opportunities to maintain or enhance customer loyalty and approval, and improve domestic and international competitiveness.

Implementation of the process described in this International Standard can

- provide a complainant with access to an open and responsive complaints-handling process,
- enhance the ability of the organization to resolve complaints in a consistent, systematic, and responsive manner, to the satisfaction of the complainant and the organization,
- enhance the ability of an organization to identify trends and eliminate causes of complaints, and improve the organization's operations,
- help an organization create a customer-focused approach to resolving complaints, and encourage personnel to improve their skills in working with customers, and
- provide a basis for continual review and analysis of the complaints-handling process, the resolution of complaints, and process improvements made.

Organizations can use the complaints-handling process in conjunction with customer satisfaction codes of conduct and external dispute resolution processes.

0.2 Relationship with ISO 9001 and ISO 9004

This International Standard is compatible with ISO 9001 and ISO 9004, and supports the objectives of these two International Standards through the effective and efficient application of a complaints-handling process. It can also be used independently of them.

ISO 9001 specifies requirements for a quality management system that can be used for internal application by organizations, or for certification, or for contractual purposes. The process for complaints handling described in this International Standard can be used as an element of a quality management system.

ISO 9004 provides guidance on managing for the sustained success of an organization. The use of this International Standard (ISO 10002) can enhance performance in the area of complaints handling and increase the satisfaction of customers and other interested parties to facilitate the achievement of

sustained success. It can also facilitate the continual improvement of the quality of products based on feedback from customers and other interested parties.

0.3 Relationship with ISO 10001, ISO 10003 and ISO 10004

This International Standard is compatible with ISO 10001, ISO 10003 and ISO 10004. These four International Standards can be used either independently or in conjunction with each other. When used together, ISO 10001, ISO 10003, ISO 10004 and this International Standard can be part of a broader and integrated framework for enhanced customer satisfaction through codes of conduct, complaints handling, dispute resolution and monitoring and measurement of customer satisfaction.

ISO 10001 contains guidance on codes of conduct for organizations related to customer satisfaction. Such codes of conduct can decrease the probability of problems arising and can eliminate causes of complaints and disputes which can decrease customer satisfaction.

ISO 10003 contains guidance on the resolution of disputes regarding product-related complaints that could not be satisfactorily resolved internally. ISO 10003 can help to minimize customer dissatisfaction stemming from unresolved complaints.

ISO 10004 contains guidance on establishing effective processes for monitoring and measuring customer satisfaction. Its focus is on customers external to the organization.

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Quality management — Customer satisfaction — Guidelines for complaints handling in organizations

1 Scope

This International Standard provides guidance on the process of complaints handling related to products within an organization, including planning, design, operation, maintenance, and improvement. The complaints-handling process described is suitable for use as one of the processes of an overall quality management system.

This International Standard is not applicable to disputes referred for resolution outside the organization or for employment-related disputes.

It is also intended for use by organizations of all sizes and in all sectors. [Annex A](#) provides guidance specifically for small businesses.

This International Standard addresses the following aspects of complaints handling:

- a) enhancing customer satisfaction by creating a customer-focused environment that is open to feedback (including complaints), resolving any complaints received, and enhancing the organization's ability to improve its product and customer service;
- b) top management involvement and commitment through adequate acquisition and deployment of resources, including personnel training;
- c) recognizing and addressing the needs and expectations of complainants;
- d) providing complainants with an open, effective, and easy-to-use complaints process;
- e) analysing and evaluating complaints in order to improve the product and customer service quality;
- f) auditing of the complaints-handling process;
- g) reviewing the effectiveness and efficiency of the complaints-handling process.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 9000:2005, *Quality management systems — Fundamentals and vocabulary*

3 Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 9000 and the following apply.

3.1

complainant

person, organization, or its representative, making a complaint

3.2

complaint

expression of dissatisfaction made to an organization, related to its products, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected

3.3

customer

organization or person that receives a product

EXAMPLE Consumer, client, end-user, retailer, beneficiary, and purchaser.

[SOURCE: ISO 9000:2005, 3.3.5, modified — Note has been deleted.]

3.4

customer satisfaction

customer's perception of the degree to which the customer's requirements have been fulfilled

[SOURCE: ISO 9000:2005, 3.1.4, modified — Notes have been deleted.]

3.5

customer service

interaction of the organization with the customer throughout the life cycle of a product

3.6

feedback

opinions, comments, and expressions of interest in the products or the complaints-handling process

3.7

interested party

person or group having an interest in the performance or success of an organization

[SOURCE: ISO 9000:2005, 3.3.7, modified — Example and note have been deleted.]

3.8

objective

<complaints handling> something sought, or aimed for, related to complaints handling

3.9

policy

<complaints handling> overall intentions and direction of the organization related to complaints handling, as formally expressed by top management

3.10

process

set of interrelated or interacting activities which transforms inputs into outputs

[SOURCE: ISO 9000:2005, 3.4.1, modified — Notes have been deleted.]

4 Guiding principles

4.1 General

Adherence to the guiding principles set out in 4.2 to 4.10 is recommended for effective handling of complaints.

4.2 Visibility

Information about how and where to complain should be well publicized to customers, personnel, and other interested parties.

4.3 Accessibility

A complaints-handling process should be easily accessible to all complainants. Information should be made available on the details of making and resolving complaints. The complaints-handling process and supporting information should be easy to understand and use. The information should be in clear

language. Information and assistance in making a complaint should be made available (see [Annex B](#)), in whatever languages or formats that the products were offered or provided in, including alternative formats, such as large print, Braille, or audiotape, so that no complainants are disadvantaged.

4.4 Responsiveness

Receipt of each complaint should be acknowledged to the complainant immediately. Complaints should be addressed promptly in accordance with their urgency. For example, significant health and safety issues should be processed immediately. The complainants should be treated courteously and be kept informed of the progress of their complaint through the complaints-handling process.

4.5 Objectivity

Each complaint should be addressed in an equitable, objective, and unbiased manner through the complaints-handling process (see [Annex C](#)).

4.6 Charges

Access to the complaints-handling process should be free of charge to the complainant.

4.7 Confidentiality

Personally identifiable information concerning the complainant should be available where needed, but only for the purposes of addressing the complaint within the organization and should be actively protected from disclosure, unless the customer or complainant expressly consents to its disclosure.

4.8 Customer-focused approach

The organization should adopt a customer-focused approach, should be open to feedback including complaints, and should show commitment to resolving complaints by its actions.

4.9 Accountability

The organization should ensure that accountability for and reporting on the actions and decisions of the organization with respect to complaints handling is clearly established.

4.10 Continual improvement

The continual improvement of the complaints-handling process and the quality of products should be a permanent objective of the organization.

5 Complaints-handling framework

5.1 Commitment

The organization should be actively committed to effective and efficient complaints handling. It is particularly important that this is shown by and promoted from, the organization's top management.

A strong commitment to responding to complaints should allow both personnel and customers to contribute to the improvement of the organization's products and processes.

This commitment should be reflected in the definition, adoption, and dissemination of policy and procedures for the resolution of complaints. Management commitment should be shown by the provision of adequate resources, including training.

5.2 Policy

Top management should establish an explicit customer-focused complaints-handling policy. The policy should be made available to, and known by all personnel. The policy should also be made available to customers and other interested parties. The policy should be supported by procedures and objectives for each function and personnel role included in the process.

When establishing the policy and objectives for the complaints-handling process, the following factors should be taken into account:

- any relevant statutory and regulatory requirements;
- financial, operational, and organizational requirements;
- the input of customers, personnel, and other interested parties.

The policies related to quality and complaints handling should be aligned.

5.3 Responsibility and authority

5.3.1 Top management should be responsible for the following:

- a) ensuring that the complaints-handling process and objectives are established within the organization;
- b) ensuring that the complaints-handling process is planned, designed, implemented, maintained, and continually improved in accordance with the complaints-handling policy of the organization;
- c) identifying and allocating the management resources needed for an effective and an efficient complaints-handling process;
- d) ensuring the promotion of awareness of the complaints-handling process and the need for a customer focus throughout the organization;
- e) ensuring that information about the complaints-handling process is communicated to customers, complainants, and, where applicable, other parties directly concerned in an easily accessible manner (see [Annex C](#));
- f) appointing a complaints-handling management representative and clearly defining his or her responsibilities and authority in addition to the responsibilities and authority set out in [5.3.2](#);
- g) ensuring that there is a process for rapid and effective notification to top management of any significant complaints;
- h) periodically reviewing the complaints-handling process to ensure that it is effectively and efficiently maintained and continually improved.

5.3.2 The complaints-handling management representative should be responsible for the following:

- a) establishing a process of performance monitoring, evaluation, and reporting;
- b) reporting to top management on the complaints-handling process, with recommendations for improvement;
- c) maintaining the effective and efficient operation of the complaints-handling process, including the recruitment and training of appropriate personnel, technology requirements, documentation, setting and meeting target time limits and other requirements, and process reviews.

5.3.3 Other managers involved in the complaints-handling process should, as applicable within their area of responsibility, be responsible for the following: