



SLOVENSKI STANDARD
oSIST prEN 14012:2018
01-november-2018

Poštne storitve - Kakovost storitve - Načela ravnanja s pritožbami

Postal services - Quality of service - Complaints handling principles

Postalische Dienstleistungen - Dienstqualität - Grundsätze der Bearbeitung von Beschwerden

Services postaux - Qualité du service - Principes de traitement des réclamations

Ta slovenski standard je istoveten z: prEN 14012

ICS:

03.240 Poštne storitve Postal services

oSIST prEN 14012:2018 **en,fr,de**

EUROPEAN STANDARD
NORME EUROPÉENNE
EUROPÄISCHE NORM

DRAFT
prEN 14012

September 2018

ICS 03.240

Will supersede EN 14012:2008

English Version

Postal services - Quality of service - Complaints handling principles

Services postaux - Qualité du service - Principes de traitement des réclamations

Postalische Dienstleistungen - Dienstqualität - Grundsätze der Bearbeitung von Beschwerden

This draft European Standard is submitted to CEN members for enquiry. It has been drawn up by the Technical Committee CEN/TC 331.

If this draft becomes a European Standard, CEN members are bound to comply with the CEN/CENELEC Internal Regulations which stipulate the conditions for giving this European Standard the status of a national standard without any alteration.

This draft European Standard was established by CEN in three official versions (English, French, German). A version in any other language made by translation under the responsibility of a CEN member into its own language and notified to the CEN-CENELEC Management Centre has the same status as the official versions.

CEN members are the national standards bodies of Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, Former Yugoslav Republic of Macedonia, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and United Kingdom.

Recipients of this draft are invited to submit, with their comments, notification of any relevant patent rights of which they are aware and to provide supporting documentation.

Warning : This document is not a European Standard. It is distributed for review and comments. It is subject to change without notice and shall not be referred to as a European Standard.



EUROPEAN COMMITTEE FOR STANDARDIZATION
COMITÉ EUROPÉEN DE NORMALISATION
EUROPÄISCHES KOMITEE FÜR NORMUNG

CEN-CENELEC Management Centre: Rue de la Science 23, B-1040 Brussels

Contents	Page
European foreword	4
Introduction	5
1 Scope.....	7
2 Normative references.....	7
3 Terms and definitions.....	7
4 Complaint handling - Guiding principles	11
5 Complaint handling commitment.....	14
6 Complaint handling management.....	14
7 Operation of the complaints handling process.....	14
8 Maintenance and improvement.....	18
Annex A (normative) Performance improvement activity	19
A.1 General.....	19
A.2 Assessing the organization is able to deal with the information of the complaint handling process.....	19
A.3 Assessing how the complaint handling process drives continual improvement	20
Annex B (informative) Customer complaint processes – channels and mechanisms for communicating complaint handling processes to postal users	21
Annex C (informative) Complaint channels.....	22
C.1 List of complaint channels involved.....	22
C.2 Channel operation	22
Annex D (informative) Capturing user information on complaints	24
Annex E (informative) Complaint categorization and classification.....	26
E.1 Introduction.....	26
E.2 Complaint justification	26
E.3 Complaint ownership	26
E.4 Complaint categories.....	27
E.5 Reasons for complaint.....	27
Annex F (informative) Responses	28
Annex G (informative) Complaint reporting.....	29
G.1 General.....	29
G.2 Timescales for reporting.....	29
G.3 Report content	29
G.4 Extra monitoring data	30

Annex H (informative) Continual improvement	31
H.1 Continual improvement of the complaint handling process	31
H.2 Continual improvement of products and services.....	31
Annex I (informative) (Informative) Suggested reportingformats	32
Annex J (informative) Damage to postal items	39
J.1 Introduction	39
J.2 Measurement of complaints	39
J.3 Prevention actions	52
J.4 Measurements	53
J.5 Activities to mitigate impact of damages.....	56
J.6 Parameters of postal items affecting the number of damages.....	56
Bibliography	57

iTeh STANDARD PREVIEW
(standards.iteh.ai)

SIST EN 14012:2019

<https://standards.iteh.ai/catalog/standards/sist/a933dac0-3d0f-40a3-80a0-a84025124e8d/sist-en-14012-2019>

prEN 14012:2018 (E)**European foreword**

This document (prEN 14012:2018) has been prepared by Technical Committee CEN/TC 331 “Postal services”, the secretariat of which is held by NEN.

This document is currently submitted to the CEN Enquiry.

This document will supersede EN 14012:2003.

The content has been extensively revised to reflect:

- an increased requirement for postal operators and organizations to demonstrate a stronger focus on providing a quality mail and associated complaint handling experience to postal users;
- limiting the number of measuring parameters; and
- stronger alignment with ISO 10002 adhering to the measuring method described in the first edition of EN 14012 means that also the measuring requirements of this revised 2nd edition of EN 14012 are met. Annex F contains general information regarding measuring and reporting of complaints based on the criteria described in the first edition of EN 14012 and included in Annex I. However, this revised second edition of EN 14012 contains more requirements on improvements and corrective actions.

iTeh STANDARD PREVIEW
(standards.iteh.ai)

SIST EN 14012:2019

<https://standards.iteh.ai/catalog/standards/sist/a933dac0-3d0f-40a3-80a0-a84025124e8d/sist-en-14012-2019>

Introduction

In 1992 the European Commission pointed out in its Green paper the need to establish common rules for the development of community postal services and the improvement of quality of service. The Commission identified requirements for quality of service measurement including the management and measurement of complaints.

The 1997 Directive of the European Parliament and of the Council on common rules for the development of the internal market of Community postal services and the improvement of quality of service, 97/67/CE article 19, requires universal service providers to publish information once a year on the number of complaints and the way they are dealt with. Complaints are requests given by users of the postal service in order to communicate that they feel that the service provided has not met the standard they expect or the standard the service provider has to comply with. It is recommended to investigate complaints in order to verify if there is actual non-conformity with the service and to respond to the complainants. Moreover, complaints should be regarded as the instrument to protect users if the service provider does not respect the commitments and promises it has made.

The service provider can use complaints in its continuous quality improvement of the postal service. The level of complaints and the reasons for complaints provide important information about the satisfaction of users with different aspects of the postal service. There needs to be commitment to effective complaints handling at all levels within the postal organization.

An investigation carried out by the European postal regulators CERP in 2004 showed that the costs for fully implementing the first edition of EN 14012:2003 were likely to be too high, even for postal service organizations with existing established and sophisticated complaint management & measurement/reporting systems. This prompted CEN/TC 331 to start a revision of the European Standard in 2005, incorporating annexes about guidance for its use. This Third version of EN 14012 does not force those who already are using EN 14012:2003 to change their measurement systems to comply with the European Standard, but gives an opportunity to measure less extensively. This Third version is also aligned with ISO 10002 on Complaints handling and thus places more emphasis on the need for overall quality improvements within the postal organizations.

Regulatory aspects, information about business sensitive information and special requirements for Universal services have deliberately been left out of this European Standard. The reasons are that it is up to the regulatory and governmental bodies, as well as in contracts between business partners, to refer to business agreements and this European Standard, and to state which part has to be followed and for which service.

National regulators may have more specific requirements than those given in this European Standard.

In this third edition of EN 14012, the general structure of ISO 10002 is followed. For general complaints handling rules that are not postal specific, references are made to the latest version of ISO 10002/2, which may be revised independently of EN 14012.

Green paper parcel delivery 2012, directive 2011/83/EU Consumer Rights

Regulation on cross-border parcel delivery services, 2018

The intention of the modified EN 14012 is to provide guidance on how to set up a complaints handling system for postal service operators that can deliver positive solutions for postal users who complain and provide sufficient information about quality of service related to complaints.

prEN 14012:2018 (E)

Postal specific issues which will be taken into account are:

- many postal organization employees are in frequent contact with postal users during the delivery of their core job and may be able to deal with complaints on the spot. Most of this contact is not recognized as complaint handling contact and is therefore not formally recorded. (For example, a postman conducting regular collection and delivery activity);
- cross border mail may generate cross border complaints where it may be difficult to establish which postal operator is responsible;
- postal operations involving multiple operators carrying an item of mail will result in complaints being made to organizations that may or may not be the responsibility of that organization;
- person who complains may not be the person who has paid for the service; for example, a recipient of a mail item complaining about an incorrect delivery procedure;
- postal business in Europe is regulated by European and national regulatory law. This regulatory law focuses primarily on the Universal Postal Service (which differs from Member State to Member State);
- there is a new emphasis on e-commerce.

iTeh STANDARD PREVIEW
(standards.iteh.ai)

SIST EN 14012:2019

<https://standards.iteh.ai/catalog/standards/sist/a933dac0-3d0f-40a3-80a0-a84025124e8d/sist-en-14012-2019>

1 Scope

This document specifies complaints handling principles related to domestic and international postal services. It applies to both national and cross border services. Attention is given to how to handle complaints in multiple operator situations. The standard also gives guidance for compensation and redress procedures.

This document can be applied to all types of postal service, both universal service and non-universal service, and by all types of postal organizations. It defines various types of complaints and establishes a methodology for handling complaints in order to improve the service given to postal users. It also gives guidance for complaints handling processes to be set up by postal service providers in order to improve quality of service.

This document provides guidelines beyond the requirements given in ISO 10002 and EN ISO 9001 in order to consider both the effectiveness and efficiency of a complaint handling process, and consequently the potential for improvement of the performance of an organization. When compared to EN ISO 9001, the objectives of customer satisfaction and product quality are extended to include the satisfaction of interested parties and the performance of the organization.

This document is applicable to the processes of the organization and consequently the quality management principles on which it is based can be deployed throughout the organization. The focus of this document is the achievement of ongoing improvement, measured through the satisfaction of customers and other interested parties.

It is important to note that the number of complaints received might not be related to the level of service given. A large number of complaints may on the contrary reflect the effectiveness of the postal operator's complaint handling process.

This document consists of guidance and recommendations and is neither intended for certification, regulatory or contractual use, nor as a guide to the implementation of EN ISO 9001.

The relationship with the second edition of this document is explained in Annex I.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 10002, *Quality management - Customer satisfaction - Guidelines for complaints handling in organizations*

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- IEC Electropedia: available at <http://www.electropedia.org/>
- ISO Online browsing platform: available at <http://www.iso.org/obp>

prEN 14012:2018 (E)**3.1****"access to customer service information" complaint**

complaint about the information provided by the service provider on the specifications of its products and services

Note 1 to entry: Examples would be complaints about availability of information on product specifications and prices, about incorrect information and advice, or about information on complaints procedures.

Note 2 to entry: Complaints about information provided by a contractor or franchisee of the service provider would be included in this category.

3.2**"access to postal services" complaint**

complaint about how and when postal services are available

Note 1 to entry: Examples would be complaints about opening hours at post offices, about queues at post offices, about cleanliness of post offices, or about access for disabled and handicapped people.

Note 2 to entry: Complaints about access points for postal services provided by the service provider through franchised operations are also included in the access to postal services category of complaints.

3.3**"behaviour and competence of postal employees" complaint**

complaint regarding the behaviour of individual postal employees and the way individual employees operate postal procedures

Note 1 to entry: Examples would be complaints about rudeness or behaviour of employees which is inconsiderate of users of the postal service.

Note 2 to entry: Complaints about mistakes resulting in loss of, damage to or delay to postal items or causing delivery problems is not included in this complaints category.

3.4**cause of complaint**

originating event leading to a complaint

Note 1 to entry: E.g. specific explanation for a service failure or customer perception of failure, generating a complaint.

3.5**compensation**

redress given to a complainant by a service provider

Note 1 to entry: Compensation rules are generally specified in the terms of business.

3.6**complainant**

person, organization or its representative, making a complaint

3.7**complaint**

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

Note 1 to entry: Organizations may have a more detailed definition of what comprises a complaint in their respective complaint handling approaches.

3.8**complaints handling process**

process starting at the receipt of a complaint through a series of actions resulting in a final response or any necessary escalation

3.9**"complaint handling" complaint**

complaint expressing dissatisfaction about the way in which a previous complaint has been treated

Note 1 to entry: Reasons for dissatisfaction could include the time taken to handle the complaint or the response received from the service provider.

3.10**cross-border mail**

mail distributed from one country to another country

[SOURCE: EN 14534:2016]

3.11**customer**

natural or legal person having a business relationship with a postal operator

Note 1 to entry: A consumer who purchases postal services is a customer.

Cf. user

3.12**customer service**

interaction of the organization with the user throughout the life cycle of a product or service

3.13**feedback**

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

3.14**final response**

communication by means of which the service provider informs a complainant of the results of any investigation caused by a complaint, and whether the complaint is considered to be justified or not

Note 1 to entry: A continued dialogue between the service provider and an unsatisfied customer, after the complainant has been informed about the results of the investigation in the final response, is considered a new complaint about complaint handling.

Note 2 to entry: Even if the complainant is still not satisfied with the content of the final response, the specific complaint is solved by the final response.

cf. complaint handling complaint

prEN 14012:2018 (E)**3.15****general complaint**

complaint that is based on a question of opinion or dissatisfaction in general with the service the postal operator provides without reference to a perceived specific service or product failure

Note 1 to entry: General Complaints are neither related to a specific item or items nor to a specific customer or postal service user.

Note 2 to entry: The process for handling general complaints may differ from the process for specific complaints.

cf. specific complaint

3.16**item damaged complaint**

complaint regarding damage to the contents or envelope or wrapping of a postal item

3.17**inappropriate delivery(for categorization of complaints):**

the delivery of postal items , without the consent of the receiver or the sender, for instance

at a place that is:

- deemed not secure/ public accessible;
- not protected from weather;

or the delivery of Postal items without notifying the consumer where the item was delivered

3.18**"item lost or substantially delayed" complaint**

complaint regarding a postal item not received, in whole or in part, by the recipient within a specified period of time

Note 1 to entry: Each postal operator may define a specific 'loss' time depending on the product or service used.

3.19**justified complaint**

complaint regarding a subject for which the service provider, after investigation if necessary, recognizes that it may not have fulfilled its obligations in whole or in part

Note 1 to entry: Examples of the obligations of the service provider are its general terms of business and its regulatory and legal requirements.

3.20**"mail delivery" complaint**

complaint about when, where or how postal items have been delivered at the delivery address

3.21**"misdelivery" complaint**

complaint about postal item delivered to the wrong address or the wrong addressee (if appropriate)

3.22**multiple operator(s)**

carriage of mail that involves more than one operator from its introduction into the postal process to its delivery

3.23**postal item**

anything dispatched and/or to be delivered by a postal service provider

3.24**"redirection" complaint**

complaint about incorrect treatment of postal items that are affected by a permanent or temporary change of address

Note 1 to entry: An example of what would warrant a change of address complaint would be failure to redirect letters to a person's new address when the service provider has undertaken to do so.

Note 2 to entry: Complaints about temporary changes of address, for example during the summer vacation.

3.25**specific complaint**

complaint based on a question of fact related to a specific customer or postal service user, and a specific instance or a specific postal item or items

Note 1 to entry: cf. general complaint.

3.26**user**

any natural or legal person benefiting from postal services

Note 1 to entry: A sender or recipient of a postal item is a user.

Note 2 to entry: The concept of user is wider than customer.

Note 1 to entry: cf. customer.

4 Complaint handling - Guiding principles

4.1 General

The overall reason to effectively manage, register and categorize complaints is to easily find information about opportunities for improvement of the quality of products, services and processes. When choosing activities for continual improvement, the organization should identify which causes of complaints that are the most important to start to deal with.

The total volume of complaints and the reasons for those complaints should not be taken as the sole measure of an organization's performance. Many organizations positively generate complaints from users, even in times of high service performance, to further drive service improvement. Comparing total complaint volumes can be misleading. Complaint volumes should also be reviewed against other factors, such as total volume of postal items.

Adherence to the guiding principles set out in 4.2 to 4.14 is recommended for delivering an effective complaint handling process.

prEN 14012:2018 (E)**4.2 Visibility**

Information about how and where to complain about postal services should be well publicized to postal users.

4.3 Accessibility

A complaints handling process should be easily accessible to all complainants and through a variety of complaint access channels, so that no complainant would be disadvantaged. 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.

Wherever possible, accessibility to the complaints handling process should be free of specific charge. There shall be at least one free of specific charge access channel available to users who wish to contact an organization to make a complaint.

4.4 Acceptability

A complaint can be accepted from the sender or the addressee of a postal item or service.

Complaints related to the postal service provision can also be accepted from third parties, authorized to act on behalf of senders or recipients.

General complaints made by third parties about things not related to specific postal items may also be accepted, even if they will not be classified in the complaints handling system. Examples of such complaints are wrongly parked cars, noisy mail delivery personnel etc.

For cross-border and multiple operator handling see clause 4.13.

4.5 Responsiveness

Where the complaint cannot be dealt with immediately, receipt of each complaint should be acknowledged to the complainant. On request complainants should be kept informed of the status of their complaint through the complaints handling process, including when to expect the next step or the final response to their complaint.

4.6 Objectivity

Each complaint should be dealt with in an equitable, objective and unbiased manner through the complaints handling process and according to the standard complaint handling procedures in place.

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 to any other source (either internally or externally) unless the complainant expressly consents or requests for specific details to be disclosed.

4.8 User focused approach

The first goal of complaint handling is the complainant satisfaction and the recovering of confidence in the postal service to engender long-term loyalty to the postal organization involved.

Postal organizations should take account of users' needs and expectations when designing and deploying complaint handling processes. Complaint handling systems should be open to user feedback, and should show commitment to helping the postal organization to resolve the root causes of complaints and to avoid them re-occurring.

4.9 Auditability

Postal organizations should have documented procedures regarding complaint handling. These procedures should be auditable, as and when required.

4.10 Continual improvement

The continual improvement of the overall quality of service is an objective of the complaint handling system, and using the information from the complaint handling process to improve the overall quality of service should be a permanent objective of any postal organization.

Complaint handling processes should allow analysis of complaint causes.

Postal organizations' complaint handling systems should be flexible to allow modifications, in order to take into account changing technology, dynamic market conditions and changing user needs and expectations.

4.11 Conformity with national and international framework

Organizational or national rules for complaints handling may be more detailed than the procedures outlined in this European Standard. Postal service organizations' complaint handling processes should be developed and deployed according to any existing national law.

4.12 Resolution of problem at local level

Responsibility for the reporting and resolution of the root cause of the complaint lies with the service-, product- or process-owner in the organization responsible for the specific service failure or product concerned.

Oral complaints that are solved 'on the spot' (outlet, distribution base or sorting centre) may not be recorded.

4.13 Complaints on postal items handled by multiple operators (cross border or multi-handled domestic mail)

In the case of postal items being handled by multiple operators, it should be possible for a user to make a complaint to any of the postal operators involved, even if they do not have an agreement with the customer of the postal item and even if the organization is not responsible for the complaint arising. Agreement on who is responsible should be determined by procedures developed between multiple operators, but the responsibility for dealing with the complainant until there is a resolution or transfer of the management of the complaint to the right operator lies with the postal operator receiving the complaint.

If a postal operator receives a complaint where they have no part in the process the complainant should be informed about appropriate referral channels if possible. Complaints that obviously do not refer to the postal operator that receives the complaint should not be accepted or counted in that organization complaint data.

4.14 Compensation to users

Users are entitled to make claims for compensation if they perceive that the postal organization has not met the product or service specification contained within the organization's general terms of business. The general terms of business should specify how, when and what level of compensation could be expected to be paid.