

Australian/New Zealand Standard™

Guidelines for complaint management in organizations



AS/NZS 10002:2014

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The following are represented on Committee QR-015:

Accident Compensation Corporation, New Zealand
Australian Communications Consumer Action Network
Australian Competition and Consumer Commission
Australian Taxation Office
Consumers Federation of Australia
Electricity and Gas Complaints Commissioner
Financial Ombudsman Service
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PREFACE

This Standard was prepared by the Joint Standards Australia/Standards New Zealand Committee QR-015, Complaint Handling, to supersede, AS ISO 10002—2006, *Customer satisfaction—Guidelines for complaints handling in organizations (ISO 10002:2004, MOD)*.

This Standard is based on but not equivalent to ISO 10002:2004, *Customer satisfaction—Guidelines*. This revised edition is intended for complaint management in organizations, incorporating new perspectives and approaches to complaint handling that have proved effective over recent years, and reflects the trend away from quality management approaches in the complaint management/dispute resolution field.

The objective of this Standard is to provide guidance on complaint management to organizations, including the planning, design, operation, maintenance and improvement.

This Standard provides for consistency in the effective treatment of complaints, particularly in a global marketplace.

The Standard provides guidance for the design and implementation of an effective and efficient complaint management system for all types of organizations.

Properly handled complaints result in improved organizational reputation, regardless of the organization's size, location or sector.

Implementation of the guidance set out in this Standard can—

- (a) provide a complainant with access to an open and responsive complaints process;
- (b) enhance an organization's ability to manage complaints in a consistent, systematic and responsive manner;
- (c) enhance an organization's ability to identify trends and eliminate causes of complaints and improve the organization's operational effectiveness;
- (d) encourage and support staff to improve their skills in complaint management;
- (e) provide a basis for the ongoing review and analysis of the complaint management system, resolution of complaints, and process improvements made; and
- (f) reduce the likelihood of complaints developing into ongoing disputes.

Organizations may wish to use the complaint management system in conjunction with customer satisfaction codes of conduct and external dispute resolution processes.

The term 'informative' has been used in this Standard to define the application of the appendix to which it applies. An 'informative' appendix is only for information and guidance.

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FOREWORD

This Standard is compatible with AS/NZS ISO 9001 and AS/NZS ISO 9004 and supports the objectives of these Standards through the effective and efficient application of a complaint management system. It may also be used independently of them. This Standard is not intended for certification or for contractual purposes.

AS/NZS ISO 9001, *Quality management systems—Requirements*, specifies requirements for a quality management system that can be used for internal application by organizations for certification or for contractual purposes. The system for complaint management described in this Standard can be used as an element of a quality management system.

AS/NZS ISO 9004, *Managing for the sustained success of an organization—A quality management approach*, provides guidance on continual improvement of performance. This Standard can further enhance the organization's performance in complaint management and increase the satisfaction of customers and other interested parties. It can also facilitate continual quality improvement based on feedback from complainants and other interested parties.

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Australian/New Zealand Standard

Guidelines for complaint management in organizations

1 SCOPE

This Standard provides guidance on complaint management within an organization, including the planning, design, operation, maintenance and improvement of the organization's complaint management system.

This Standard emphasises that active commitment at the organization's highest level is essential for effective complaint management (see Clause 6.2).

This Standard seeks to provide—

- (a) enhanced public confidence in the organization by creating an environment that encourages feedback and complaints, and sees complaints managed in a timely and fair manner;
- (b) recognition of the needs and expectations of complainants;
- (c) an open, accessible and effective complaints process;
- (d) a system that can be used by the organization to analyse, evaluate and audit complaints and their outcomes in order to deliver quality improvements; and
- (e) a mechanism for reviewing the effectiveness and efficiency of an organization's complaint management practices and outcomes.

NOTE: Guidance on complaint management for small businesses is given in Appendix A.

The organization is required to conform with any statutory obligations it has, and might be obliged to comply with best practice guidance as set out by relevant external review accountability and regulatory bodies.

This Standard is not intended to change any rights or obligations of the organization as set out by such statutory or regulatory requirements.

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

2 APPLICATION

The complaint management system described in this Standard is suitable for use as one of the processes of a quality management system.

This Standard is intended to provide guidance to organizations of all sizes and in all sectors.

Although the principles in this Standard will have general application, in designing a complaint management system, each organization will need to have regard to the following:

- (a) Any statutory or regulatory requirements.
- (b) The value the organization seeks to derive from complaints to improve its operations.
- (c) Financial, operational and organizational requirements.
- (d) The number and demographics of the organization's customers.
- (e) The nature and breadth of the organization's interactions with the public.
- (f) The number and type of complaints the organization receives.
- (g) Input from staff and other interested parties.