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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 voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see the following URL: www.iso.org/iso/foreword.html.

This document was prepared by Technical Committee ISO/TC 176, *Quality management and quality assurance*, Subcommittee SC 3, *Supporting technologies*.

This third edition cancels and replaces the second edition (ISO 10002:2014), which has been technically revised.

The main changes compared with the previous edition are as follows:

— alignment with ISO 9000:2015;

— alignment with ISO 9001:2015;

— improved alignment with ISO 10001, ISO 10003 and ISO 10004.

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Introduction

0.1 General

This document provides guidance for organizations to plan, design, develop, operate, maintain and improve 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 relevant interested parties.

The information obtained through the complaints-handling process can lead to improvements in products, services 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 using 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 and expectations of both the organizations supplying products and services and those who are the recipients of those products and services.

The handling of complaints through a process as described in this document 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 document 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 the organization to identify trends and eliminate causes of complaints, and improve the organization's operations;

— help the organization create a customer-focused approach to resolving complaints, and encourage personnel to improve their skills in working with customers;

— 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.

The satisfaction of persons or organizations that could or do receive a product or a service from a public or a private organization is the focus of this document.

0.2 Relationship with ISO 9001 and ISO 9004

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

ISO 9001 specifies requirements for a quality management system. The process for complaints handling described in this document (ISO 10002) can be used as an element of a quality management system.

ISO 9004 provides guidance to achieve sustained success of an organization. The use of this document (ISO 10002) can enhance performance in the area of complaints handling and increase the satisfaction of customers and other relevant interested parties to facilitate the achievement of sustained success. It

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can also facilitate the continual improvement of the quality of products, services and processes based on feedback from customers and other relevant interested parties.

NOTE Apart from customers and complainants, other relevant interested parties can include suppliers, industry associations and their members, consumer organizations, relevant government agencies, personnel, owners and others who are affected by the complaints-handling process.

0.3 Relationship with ISO 10001, ISO 10003 and ISO 10004

This document is compatible with ISO 10001, ISO 10003 and ISO 10004. These four documents can be used either independently or in conjunction with each other. When used together, this document, ISO 10001, ISO 10003 and ISO 10004 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 (see Annex A).

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- and service-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. Guidelines given in ISO 10004 can support the establishment and implementation of a complaints-handling process. For example, the processes described in ISO 10004 can assist the organization in monitoring and measuring customer satisfaction with the complaints-handling process (see 8.3). Likewise, information from a complaints-handling process can be used in monitoring and measuring customer satisfaction. For example, the frequency and type of complaints can be an indirect indicator of customer satisfaction (see ISO 10004:2018, 7.3.2).

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1 Scope

This document gives guidelines for the process of complaints handling related to products and services within an organization, including planning, design, development, operation, maintenance and improvement. The complaints-handling process described is suitable for use as one of the processes of an overall quality management system.

NOTE Throughout this document, the terms "product" and "service" refer to the outputs of an organization that are intended for, or required by, a customer.

This document is intended for use by any organization regardless of its type or size, or the products and services it provides. It is also intended for use by organizations in all sectors. Annex B provides guidance specifically for small businesses.

This document 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 products and services, including 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 quality of products and services, including customer service;

f) auditing of the complaints-handling process;

g) reviewing the effectiveness and efficiency of the complaints-handling process.

This document does not apply to disputes referred for resolution outside the organization or for employment-related disputes.

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 9000:2015, *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.

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

— ISO Online browsing platform: available at http://www.iso.org/obp

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