

Australian/New Zealand Standard™

**Guidelines for complaint management in organizations**



## **AS/NZS 10002:2014**

This Joint Australian/New Zealand Standard was prepared by Joint Technical Committee QR-015, Complaint Handling. It was approved on behalf of the Council of Standards Australia on 4 September 2014 and on behalf of the Council of Standards New Zealand on 29 August 2014.

This Standard was published on 29 October 2014.

---

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  
Financial Services Complaints, New Zealand  
Monash University  
New Zealand Law Society  
New Zealand Ombudsman  
NSW Ombudsman  
Public Transport Ombudsman, Victoria  
Society of Consumer Affairs Professionals

---

### **Keeping Standards up-to-date**

Standards are living documents which reflect progress in science, technology and systems. To maintain their currency, all Standards are periodically reviewed, and new editions are published. Between editions, amendments may be issued. Standards may also be withdrawn. It is important that readers assure themselves they are using a current Standard, which should include any amendments which may have been published since the Standard was purchased.

Detailed information about joint Australian/New Zealand Standards can be found by visiting the Standards Web Shop at [www.saiglobal.com.au](http://www.saiglobal.com.au) or Standards New Zealand web site at [www.standards.co.nz](http://www.standards.co.nz) and looking up the relevant Standard in the on-line catalogue.

For more frequent listings or notification of revisions, amendments and withdrawals, Standards Australia and Standards New Zealand offer a number of update options. For information about these services, users should contact their respective national Standards organization.

We also welcome suggestions for improvement in our Standards, and especially encourage readers to notify us immediately of any apparent inaccuracies or ambiguities. Please address your comments to the Chief Executive of either Standards Australia or Standards New Zealand at the address shown on the back cover.

---

*This Standard was issued in draft form for comment as DR AS/NZS ISO 10002.*

---

# Australian/New Zealand Standard™

## Guidelines for complaint management in organizations

Originated in Australia as AS 4269—1995.  
Previous edition AS ISO 10002—2006.  
Jointly revised and designated as AS/NZS 10002:2014.

### **COPYRIGHT**

© Standards Australia Limited/Standards New Zealand

All rights are reserved. No part of this work may be reproduced or copied in any form or by any means, electronic or mechanical, including photocopying, without the written permission of the publisher, unless otherwise permitted under the Copyright Act 1968 (Australia) or the Copyright Act 1994 (New Zealand).

Jointly published by SAI Global Limited under licence from Standards Australia Limited, GPO Box 476, Sydney, NSW 2001 and by Standards New Zealand, Private Bag 2439, Wellington 6140.

ISBN 978 1 74342 854 2

## 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.

## CONTENTS

	<i>Page</i>
FOREWORD.....	4
1 SCOPE.....	5
2 APPLICATION.....	5
3 REFERENCED DOCUMENTS .....	6
4 DEFINITIONS .....	6
5 GUIDING PRINCIPLES.....	6
6 COMPLAINT-MANAGEMENT FRAMEWORK.....	9
7 PLANNING AND DESIGN.....	12
8 OPERATION OF THE COMPLAINT HANDLING SYSTEM .....	13
9 MAINTENANCE AND IMPROVEMENT .....	16
APPENDICES	
A GUIDANCE FOR SMALL ORGANIZATIONS .....	19
B GUIDANCE ON ACCESSIBILITY .....	21
C DATA COLLECTION, ANALYSIS AND REPORTING FOR COMPLAINT INFORMATION.....	23
D OBJECTIVITY .....	26
E UNREASONABLE CONDUCT BY COMPLAINANTS .....	28
F RESPONSIBILITIES OF MANAGEMENT, EMPLOYEES AND COMPLAINT HANDLING PERSONNEL .....	30
G DISPUTE PREVENTATION AND MANAGEMENT .....	32
H THREE LEVEL MODEL OF COMPLAINT HANDLING .....	35
I EFFECTIVE APOLOGIES.....	38
J OPTIONS FOR REDRESS.....	40
K IMPLEMENTING A ROOT CAUSE ANALYSIS SYSTEM FOR COMPLAINTS: A GUIDE TO INVESTIGATING, PREVENTING AND REPORTING .....	42
L INFORMATION TO COLLECT ON A COMPLAINT FORM AND USAGE OF INFORMATION.....	48
M CONTINUAL MONITORING .....	50
N AUDIT.....	52
O ROLE OF INFORMATION IN REDUCING COMPLAINTS.....	53
BIBLIOGRAPHY.....	56

## 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.

**This is a free preview. Purchase the entire publication at the link below:**

- 
- ▶ [Looking for additional Standards? Visit SAI Global Infostore](#)
  - ▶ [Subscribe to our Free Newsletters about Australian Standards® in Legislation; ISO, IEC, BSI and more](#)
  - ▶ [Do you need to Manage Standards Collections Online?](#)
  - ▶ [Learn about LexConnect, All Jurisdictions, Standards referenced in Australian legislation](#)
  - ▶ [Do you want to know when a Standard has changed?](#)
  - ▶ [Want to become an SAI Global Standards Sales Affiliate?](#)

Learn about other SAI Global Services:

- ▶ [LOGICOM Military Parts and Supplier Database](#)
- ▶ [Metals Infobase Database of Metal Grades, Standards and Manufacturers](#)
- ▶ [Materials Infobase Database of Materials, Standards and Suppliers](#)
- ▶ [Database of European Law, CELEX and Court Decisions](#)

---

Need to speak with a Customer Service Representative - [Contact Us](#)