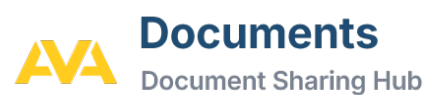


Australian/New Zealand Standard™

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.

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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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Australian/New Zealand Standard™

Guidelines for complaint management in organizations

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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.

STANDARDS AUSTRALIA/STANDARDS NEW ZEALAND

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.

3 REFERENCED DOCUMENTS

The following documents are referred to in this Standard:

NOTE: Documents that may be referred to for additional information are listed in the Bibliography at the end of the document.

AS/NZS ISO

9004 Managing for the sustained success of an organization—A quality management approach

ISO

19011 Guidelines for auditing management systems

4 DEFINITIONS

For the purposes of this Standard, the following definitions apply:

4.1 Complainant

Person, organization or their representative (including clients, consumers, service users, customers, etc.) making a complaint.

4.2 Complaint

Expression of dissatisfaction made to or about an organization, related to its products, services, staff or the handling of a complaint, where a response or resolution is explicitly or implicitly expected or legally required.

4.3 Complaint management system

Encompasses all aspects of the policies, procedures, practices, staff, hardware and software used by an organization for the management of complaints.

4.4 Disputes

Unresolved complaints escalated internally or externally, or both.

4.5 Feedback

Opinions, comments and expressions of interest or concern, made directly or indirectly, explicitly or implicitly to or about the organization, its products, services, staff or its handling of a complaint.

NOTE: Organizations may choose to manage such feedback as a complaint.

4.6 Social media

Online social networks used to disseminate information through online social interaction.

5 GUIDING PRINCIPLES

5.1 Enabling complaints

5.1.1 People focus

Everybody has a right to complain.

The organization should adopt a people-focused and proactive approach to seeking and receiving feedback and complaints, and demonstrate a strong commitment to addressing any issues raised within a reasonable timeframe.

The organization should seek clarification on whether feedback or general concern is intended to be handled as a complaint, where appropriate.

People making complaints should be treated with respect, and they should be actively involved in the complaints process as far as practicable and appropriate in the circumstances.

5.1.2 *Ensuring no detriment to complainant*

The organization should take all reasonable steps to ensure that complainants are not adversely affected because of a complaint made by them or on their behalf.

5.1.3 *Visibility and transparency*

The organization should ensure that information about how and where a complaint may be made to or about the organization is well-publicized.

5.1.4 *Accessibility*

The organization should ensure that its complaint management system is accessible to everyone, particularly people who might require assistance.

The organization should provide support to people to make a complaint if needed.

The organization should acknowledge that a person or organization may request that another person or organization assist or represent them to make and progress their complaint. The organization should accept complaints from authorized representatives of complainants.

Information about the various ways complaints can be made and the types of support available to people should be easily accessible to the public.

NOTE: See Appendix B for further guidance about accessibility.

5.1.5 *No charges*

A complainant should not be charged a fee to complain.

5.2 Managing complaints

5.2.1 *Responsiveness*

The organization should promptly acknowledge each complaint received. The organization should assess complaints and give appropriate priority in accordance with the urgency of the issues raised.

Complainants should be advised, as soon as practicable, where the organization is unable to deal with either part or all of their complaint.

The organization should deal with complaints efficiently. Where set timeframes cannot be met, internal escalation systems should be used.

It is vital that the organization actively manages the expectations of complainants. This includes advising complainants about—

- (a) the complaint process;
- (b) the expected timeframes for its actions;
- (c) their likely involvement in the process; and
- (d) the possible or likely outcome of their complaint, where practicable.

5.2.2 *Objectivity and fairness*

Each complaint should be managed in an objective and unbiased manner.

NOTE: See Appendix D for further information about objectivity.

Conflicting interests should not interfere with, or be perceived to interfere with the management and resolution of complaints. For example, the organization's complaint management system should provide avenues for review of the complaint outcome by people other than the original decision maker.

Where appropriate, the organization should defer actions that might have significant detrimental impact on the complainant until their complaint (or review) has been finalized.

5.2.3 *Equity*

All complaints should be addressed in an equitable manner and in accordance with the organization's complaint management policy.

The organization's complaint management policy should address the issue of how to manage the conduct of complainants who act unreasonably.

NOTE: See Appendix E for guidance on how to identify and manage unreasonable conduct by complainants.

5.2.4 *Privacy and disclosure*

Personally identifiable information about any individual should only be disclosed or used in compliance with all relevant privacy laws and ethical obligations when managing a complaint.

5.2.5 *Communication*

To minimize complaints and facilitate early resolution, the organization should provide explanations for policies, procedures and decisions in its communication with complainants and its staff, particularly frontline staff and staff handling complaints.

5.3 Managing the parties

5.3.1 *Conduct of parties*

The organization should implement policies or guidelines, or both, that make clear the behaviour expected of both its staff and complainants.

NOTE: See Appendix E for guidance on how to identify and manage unreasonable conduct by complainants.

5.3.2 *Work health and safety*

The organization should develop, adopt and implement appropriate policies, procedures and practices to ensure the health and safety of its staff involved in complaint management, including identity protection if required.

5.3.3 *Complaint involving multiple parties*

When a complaint involves multiple organizations consideration should be given to options for coordinating communication with the complainant. Subject to privacy and confidentiality obligations, communication and information exchange between the organizations should be pre-arranged, where practicable and appropriate, to facilitate investigation and response to a complaint.

Where a complaint involves multiple areas within the organization, responsibility for communicating with the complainant should be coordinated between the areas involved.

5.3.4 *Empowerment of staff*

The organization should ensure that staff are properly empowered to implement its complaint management system as relevant to their role.

The organization should encourage staff feedback as being a valuable source of insight into problems with the organization, its products, services or the complaint management system.

NOTE: See Appendix F for guidance on the responsibilities of management, employees and complaint handling personnel.

5.4 Accountability, learning and prevention

5.4.1 *Accountability*

The organization should ensure that accountability for the operation of its complaint management system is clear.

5.4.2 *Continuous improvement*

Responding to and learning from complaints should be an essential part of an organization's commitment to continual quality improvement.

NOTE: See Appendix O for information on the role complaint data plays in improving organization's processes.

5.4.3 *Prevention of ongoing disputes*

The organization should develop and implement systems that minimize the possibility of complaints escalating into ongoing disputes.

NOTE: See Appendix G and Appendix O for guidance on how to avoid disputes arising and how to manage those that have arisen.

6 COMPLAINT-MANAGEMENT FRAMEWORK

6.1 Introduction

All organizations should implement a complaint management system that includes appropriate policies and procedures, clear lines of responsibility, and appropriate delegations.

When establishing and reviewing its complaint management system, the organization should consider—

- (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; and
- (g) input from staff and other interested parties.

6.2 Commitment

Active interest in and support of effective complaint management by the organization's governing body (or equivalent), chief executive, senior management and management generally is essential. This commitment should be reflected in the development, adoption, implementation and promotion of policy and procedures for the management of complaints.

The organization and management should be held responsible for establishing and maintaining a positive complaint management environment that encourages feedback and complaints.

Management commitment should also be demonstrated through the provision of adequate resources, including training and support for staff handling complaints.

The organization should provide assistance for people who have difficulty making a complaint.

6.3 Policy and procedures

The organization should establish an explicit complaint management policy setting out its commitment to the effective management of complaints.

This policy should be supported by procedures detailing how complaints will be managed by the organization, who will be involved in that process and their roles.

The organization should ensure that complainants are aware of the entire complaint management process, including whether there is an external body the complainant can go to if they are dissatisfied with the outcome of their complaint or the organization's management of it.

The organization's complaint management policy and procedures should be accessible to and known by all staff within the organization.

The policy should also be widely accessible to the public.

When establishing and reviewing its complaint management policy and procedures, the organization should consider—

- (a) any relevant statutory and regulatory requirements;
- (b) financial, operational and organizational requirements; and
- (c) the input of complainants, staff and other interested parties.

6.4 Responsibility and authority

6.4.1 General

Responsibility for the organization's complaint management system lies with various parties, including—

- (a) the chief executive (or equivalent head of the organization);
- (b) the manager responsible for complaint management;
- (c) operational managers; and
- (d) the staff handling complaints.

The involvement of all levels within the organization ensures appropriate support for, and delivery of, the organization's complaint management system.

NOTE: See Appendix F for further information about the roles and responsibilities of staff in the complaint management process.

6.4.2 Chief executive

The chief executive should be responsible for the following:

- (a) Ensuring that a complaint management policy, procedures and objectives are established within the organization.
- (b) Ensuring the promotion of awareness of the complaint management policy and procedures and cultivating a people focus throughout the organization.
- (c) Ensuring that information about the complaint management policy is easily accessible to members of the public and is communicated in an easy to understand manner.
- (d) Appointing a complaint management manager with clearly defined responsibilities and authority.
- (e) Ensuring that there is a process in place for timely and appropriate notification to senior management of any significant complaints or systemic issues identified through complaints.
- (f) Ensuring that there is a process for regular reporting on complaint management generally.
- (g) Ensuring that complaints are managed effectively.

6.4.3 Manager responsible for complaint management

The complaint management manager should be responsible for the following:

- (a) Establishing a process of performance monitoring, evaluation and reporting.
NOTE: Appendix C gives further guidance on data collection, analysis and reporting.
- (b) Reporting to senior management on the operation of the complaint management system.

- (c) Reporting to senior management on significant complaints and systemic issues or trends identified through the receipt of complaints and service problems, with recommendations for improvement where appropriate.
- (d) Identifying and allocating resources needed for an effective and efficient complaint management system.
- (e) Reporting to staff and other relevant stakeholders about issues of concern identified through the complaint management system.
- (f) Implementing and maintaining the complaint management system, including—
 - (i) recruitment and training of appropriate staff;
 - (ii) implementation of appropriate technology;
 - (iii) provision of adequately documented complaint management guidance for all staff;
 - (iv) setting and meeting key performance indicators; and
 - (v) other requirements including system reviews.
- (g) Implementing internal and external escalation procedures for unresolved complaints/disputes.

6.4.4 *Operational managers*

Operational managers should, as applicable within their area of responsibility, be responsible for the following:

- (a) Ensuring that the complaint management system is implemented.
- (b) Liaising with the organization's complaint management manager.
- (c) Ensuring that staff are aware of the organization's complaint management system and the benefits of receiving complaints.
- (d) Ensuring that information about the complaint management system, including the policy and procedures, is easily accessible to staff.
- (e) Ensuring that the organization's complaint management system is easily accessible to the public.
- (f) Reporting to the complaints manager or senior management, or both, on actions and decisions made by staff relating to complaint management.
- (g) Ensuring that monitoring of the complaint management system is undertaken and recorded.
- (h) Ensuring that complaints are recorded and corrective action is taken to prevent a problem from reoccurring.
- (i) Ensuring that complaint management data is available for review by senior management.

6.4.5 *Staff handling complaints*

All staff handling complaints should—

- (a) be appropriately trained in complaint management and the implementation of complaint management procedures relevant to their role, including specific training on receiving and resolving complaints from disadvantaged and vulnerable people who need assistance;

NOTE: See Appendix B for guidance on making the organization's complaint management system accessible.

- (b) be able to identify and effectively respond to people's support and communication needs and preferences;
- (c) treat complainants in a respectful and courteous manner;
- (d) comply with all complaint management reporting requirements determined by the organization; and
- (e) comply with the organization's complaint management policy and procedures.

6.5 Staff awareness

Organizations should ensure that all staff—

- (a) are aware of the organization's complaint management system;
- (b) are aware of the value of complaints to the organization and therefore the importance of complaints being dealt with effectively;
- (c) are aware of their roles, responsibilities and authorities in respect of complaints;
- (d) are aware of what procedures to follow and what information to give to complainants; and
- (e) know how to recognize complaints, and be proactive in responding promptly and appropriately to expressions of dissatisfaction in accordance with the organization's complaint management procedures.

7 PLANNING AND DESIGN

7.1 System

The organization should plan and design an effective and efficient complaint management system that is fair, and is seen to be fair.

NOTE: See Appendix H for further information on the three levels of review.

Subject to any relevant legal and privacy obligations, the organization's complaint management system should allow for the sharing of complaint data with relevant organizations, (including suppliers that are involved with the complaint), to enable improvements.

7.2 Review process

An effective complaint management system should provide three levels of review.

NOTE: See Appendix H for further information on the 3 level review mode.

The aim of the organization should be to have the majority of complaints resolved by frontline staff (i.e. at level one of the three level model in Appendix H).

Complainants who are dissatisfied with how frontline staff have addressed their complaint or its outcome should have the option of escalating their complaint to a person or area other than frontline staff (i.e. at level two of the three level model in Appendix H).

If the complainant is still dissatisfied with the handling of their complaint, they should have the option to seek a review by an appropriate external complaint management mechanism or body (i.e. at level three of the three level model in Appendix H).

7.3 Procedures

The organization should ensure that procedures are developed and made available to staff to provide guidance on how complaints should be managed in accordance with the organization's complaint management policy.

7.4 Resources

The organization should continually review the adequacy of resources provided to staff managing complaints. This includes—

- (a) the number of staff managing complaints against the number and nature of complaints received and resolved;
- (b) the appropriateness of training provided to complaint management staff;
- (c) the clarity of complaint management procedures provided to staff managing complaints;
- (d) the simplicity of the organization's complaint management documentation;
- (e) the sufficiency of the specialist support provided to staff handling complaints;
- (f) the adequacy of materials and equipment, including computer hardware; and
- (g) finances.

7.5 Integration with public relations/media activities

The organization should ensure that its communication, public relations and media activities are informed by its complaint management policy, processes and outcomes.

The organization should ensure that there are no inconsistencies between its complaint management policies and procedures and those relating to communication, public relations and media activities.

7.6 Training

The organization should ensure staff are trained in its complaint management policy and procedures prior to undertaking complaint management activities.

Following training, a mentor or buddy system and assessment of competency is recommended to ensure staff are competent to handle complaints effectively and efficiently.

8 OPERATION OF THE COMPLAINT MANAGEMENT SYSTEM

8.1 Communication

Information about the organization's complaints process should be readily available, written in plain English and provided in a range of formats and languages.

The organization's complaint management policy should be accessible—

- (a) from its website's homepage;
- (b) at its front counter or reception area; and
- (c) in leaflets, newsletters or other relevant media generated by the organization.

Information made publicly available by an organization about its complaint management system should include—

- (i) where complaints can be made;
- (ii) how complaints can be made;
- (iii) when complaints can be made;
- (iv) when acknowledgement of complaints can be expected;
- (v) what information should be provided by the complainant;
NOTE: See Appendix L for further details.
- (vi) the organization's process for handling complaints;
- (vii) time periods associated with various stages in the process;

(viii) where appropriate, possible options for redress;

NOTE: See Appendix J for the options of redress when managing complaints.

(ix) the complainant's options for review, both internally and externally; and

(x) how the complainant can obtain feedback on the status of their complaint.

8.2 Providing support in the making of a complaint

Organizations should be alert to people who might require assistance or different approaches, and provide support and practical assistance to people to make a complaint, if required.

NOTE: See Appendix B for further guidance on how to make the organization's complaint management system accessible.

8.3 Early resolution

Where possible, complaints should be managed and resolved at the first point of contact with the organization.

Training and procedures should be provided to enable early resolution by its staff.

An assessment should be made as to whether a complaint resolved, at first point of contact, is recorded.

8.4 Receipt of complaint

Unless the complaint has been informally resolved by frontline staff, the organization should record the complaint with its supporting information. It should also assign a unique identifier to the complaint file.

The record of the complaint should identify the following as a minimum:

- (a) The complainant's contact information.
- (b) Issues raised by the complainant.
- (c) The outcome sought by the complainant.
- (d) Any other information required to properly respond to the matter.
- (e) Any support requirements needed by the complainant.

NOTE: See Appendix C for further guidance on the method of collection and content of data and Appendix L for guidance on the information to collect on receipt of a complaint.

8.5 Tracking of complaint

The organization should track the progress of each complaint until its finalization. An up-to-date status should be made available to the complainant upon request and at regular intervals, at least at the time of pre-set deadlines. Consideration should be given by the organization to the most appropriate medium.

8.6 Acknowledgement of complaint

The organization should acknowledge receipt of each complaint promptly.

Consideration should be given by the organization to the most appropriate medium for communicating with the complainant, taking into account organizational needs and the expressed views of the complainant. For example, using the same medium by which the complaint was made or by a medium requested by the complainant (such as by way of post, phone, email or social media channels).

8.7 Managing the complaint

8.7.1 *Initial assessment of complaint*

After receipt, the organization should assess whether there is more than one issue raised in the complaint, and if so, whether each issue needs to be separately addressed.

To determine how a complaint should be managed, it should be assessed in terms of criteria such as—

- (a) severity;
- (b) health and safety implications;
- (c) complexity;
- (d) impact on the individual, the general public or the organization;
- (e) potential to escalate;
- (f) the need and possibility of immediate action;
- (g) jurisdiction if applicable;
- (h) the outcomes sought by the applicant; and
- (i) whether other organizations or areas within the organization need to be involved.

8.7.2 *Considering the complaint*

After the initial assessment, the organization should appropriately consider how to address the issues raised in the complaint. This could include working with the complainant to see if the issues can be appropriately addressed, informal inquiries, or a formal investigation into the complaint.

The nature and scope of any enquiry or investigation will depend on the circumstances of each case, including any statutory requirements, the issue complained about, the parties involved, and the likely outcome.

NOTE: See Appendix D for further information on objectivity and confidentiality.

8.7.3 *Addressing the complaint*

The organization should handle all complaints in a manner intended to lead to their effective resolution as quickly as possible. Wherever possible, complaint outcomes should be tailored to the underlying cause of each complaint.

NOTE: For further guidance on options for redress see Appendix J. Effective apologies are discussed in Appendix I. When a complaint involves multiple parties, see Clause 5.3.3.

8.7.4 *Communicating with the complainant*

The organization should actively communicate its progress to the complainant, particularly where progress has been delayed.

The organization should communicate the outcome of the complaint to the complainant using the most appropriate medium taking into account the complainant's needs and express views of the complainant.

Following consideration of the complaint, the organization should contact the complainant to advise—

- (a) what actions were taken by the organization in response to the complaint;
- (b) the outcome(s) of the complaint;
- (c) the reasons for any decisions that have been made;
- (d) any remedy or resolutions that have been offered (see Appendix J); and

- (e) information about other remedies that may be available to the complainant, such as seeking an internal or external review, appeal or complaining to an external complaint management body.

As far as possible, communication with the complainant should focus on the actions of the organization as a whole and how that may have affected the complainant.

If any adverse findings are made about a particular staff member, the organization should consider whether privacy obligation impact on what information could be given to the complainant.

8.8 Closing the complaint, review and record keeping

At the time of closing the complaint, the organization should record the following:

- (a) Steps taken to address the complaint.
- (b) The outcome of the complaint.
- (c) Any undertakings or follow up action required.

This may assist the organization to respond to any further reviews or appeals, as well as lead to quality improvements.

8.9 Monitoring implementation of recommendations/remedies

The organization should put in place systems/processes to ensure implementation of outcome(s) are properly monitored and reported to the complaints manager or senior management, or both.

9 MAINTENANCE AND IMPROVEMENT

9.1 Collection of information

The organization should develop and adopt policies for identifying, gathering, classifying, maintaining, storing, securing and disposing of complaint related records.

The use and maintenance of these records is the responsibility of the organization. Information collection should include the following:

- (a) Specifying steps for identifying, gathering, classifying, maintaining, storing and disposing of records.
- (b) Recording the handling of each complaint and appropriately maintaining these records.
- (c) Maintaining records of the type of training and instruction that individuals involved in the complaint management system have received.
- (d) Specifying the organization's criteria for responding to requests for records made by a complainant or their agent. This may include time limits, statutory rights of the complainant or the general public to access information, or a combination thereof, and what kind of information will be provided, to whom and in what format.
- (e) Specifying how and when de-identified complaint data may be disclosed to the public or other organizations to whom the complaint refers.

NOTE: See Appendix C for further guidance on data collection, analysis and reporting for complaint information.

9.2 Analysis and evaluation of complaints

All complaints should be classified and then analysed to identify systemic, recurring and single incident problems and trends.

Root cause analysis is one method the organization can use to identify underlying reasons for complaints.

NOTE: See Appendix K for further guidance on this method of analysis.

9.3 Satisfaction with the complaint management system

The organization should undertake regular action to determine the level of satisfaction of complainants with its complaint management process. This may take the form of random surveys of complainants, online listening tools and alerts (for social media), and other techniques.

9.4 Monitoring the complaint management system

Continual monitoring of the complaint management system, the resources required (including personnel) and the data to be collected should be undertaken by the organization.

The performance of the complaint management system should be measured against predetermined criteria.

NOTE: See Appendix M for further guidance on monitoring and measurement.

9.5 Auditing of the complaint management system

The organization should regularly perform or provide for audits in order to evaluate the performance of its complaint management system. The audit should provide information on process—

- (a) conformity to complaint management procedures; and
- (b) suitability to achieve complaint management objectives.

The complaint management audit may be conducted as part of the quality management system audit, for example in accordance with ISO 19011. The audit results should be incorporated in the management review to identify problems and introduce improvements in the complaint management system.

The audit should be carried out by competent individuals independent of the activity being audited.

NOTE: See Appendix N for guidance on auditing.

9.6 Management review of the complaint management system

9.6.1 Purpose of review

Senior management of the organization should review the complaint management system on a regular basis in order to—

- (a) ensure its continuing suitability, adequacy, effectiveness and efficiency;
- (b) identify and address instances of nonconformity with health, safety, environmental, regulatory and other legal requirements;
- (c) identify and correct deficiencies;
- (d) assess opportunities for improvement and the need for changes to the complaint management system and the organization's general operations; and
- (e) evaluate potential changes to the complaint management policy and procedures.