



**BSI Standards Publication**

**Quality management — Customer satisfaction —  
Guidelines for codes of conduct for organizations**

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National foreword

This British Standard is the UK implementation of ISO 10001:2018. It supersedes BS ISO 10001:2007, which is withdrawn.

The UK participation in its preparation was entrusted to Technical Committee SVS/0, Customer service - Fundamental principles.

A list of organizations represented on this committee can be obtained on request to its secretary.

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© The British Standards Institution 2018  
Published by BSI Standards Limited 2018

ISBN 978 0 580 98257 6

ICS 03.120.10

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This British Standard was published under the authority of the Standards Policy and Strategy Committee on 31 July 2018.

Amendments/corrigenda issued since publication

Date	Text affected
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# INTERNATIONAL STANDARD

**ISO**  
**10001**

Second edition  
2018-07-30

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## **Quality management — Customer satisfaction — Guidelines for codes of conduct for organizations**

*Management de la qualité — Satisfaction du client — Lignes  
directrices relatives aux codes de conduite des organismes*



Reference number  
ISO 10001:2018(E)

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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](http://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](http://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](http://www.iso.org/iso/foreword.html).

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

This second edition cancels and replaces the first edition ([ISO 10001:2007](http://www.iso.org/iso/10001:2007)), 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 10002](http://www.iso.org/iso/10002), [ISO 10003](http://www.iso.org/iso/10003) and [ISO 10004](http://www.iso.org/iso/10004).

# Introduction

## 0.1 General

Maintaining a high level of customer satisfaction is a significant challenge for many organizations. One way of meeting this challenge is to put in place and use a customer satisfaction code of conduct. A customer satisfaction code of conduct consists of promises and related provisions that address issues such as product and service delivery, product returns, handling of personal information of customers, advertising and stipulations concerning particular product and service attributes or performance (examples are given in [Annex A](#)). A customer satisfaction code of conduct can be part of an effective approach to complaints management. This involves:

- a) complaints prevention, by making use of an appropriate customer satisfaction code of conduct;
- b) internal complaints handling, for instances when expressions of dissatisfaction are received;
- c) external dispute resolution, for situations in which complaints cannot be satisfactorily dealt with internally.

This document provides guidance to assist an organization in determining that its customer satisfaction code provisions meet customer needs and expectations, and that the customer satisfaction code is accurate and not misleading. Its use can:

- enhance fair trade practices and customer confidence in the organization;
- improve customer understanding of what to expect from the organization in terms of its products and services and relations with customers, thereby reducing the likelihood of misunderstandings and complaints;
- potentially decrease the need for new regulations governing the organization’s conduct towards its customers.

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 process to develop and implement a code of conduct related to customer satisfaction. This document can also be used independently of [ISO 9001](#) and [ISO 9004](#).

[ISO 9001](#) specifies requirements for a quality management system. A customer satisfaction code of conduct implemented in accordance with this document (ISO 10001) 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 10001) can further enhance performance regarding codes of conduct, as well as increase the satisfaction of customers and other relevant interested parties to facilitate the achievement of sustained success. It 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, 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 an organization’s customer satisfaction code of conduct.

## 0.3 Relationship with [ISO 10002](#), [ISO 10003](#) and [ISO 10004](#)

This document is compatible with [ISO 10002](#), [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 10002](#), [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 B](#)).

[ISO 10002](#) contains guidance on the internal handling of product- and service-related complaints. By fulfilling the promises given in a customer satisfaction code of conduct, organizations decrease the likelihood of problems arising because there is less potential for confusion regarding customer expectations concerning the organization and its products and services.

[ISO 10003](#) contains guidance on the resolution of disputes regarding product- and service-related complaints that could not be satisfactorily resolved internally. When disputes do arise, the existence of a customer satisfaction code of conduct can assist the parties in understanding customer expectations and the organization's attempts to meet those expectations.

[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 customer satisfaction codes of conduct. For example, the processes described in [ISO 10004](#) can assist the organization to monitor and measure customer satisfaction with the codes (see [8.3](#)). Likewise, customer satisfaction codes of conduct can assist the organization in defining and implementing processes for monitoring and measuring customer satisfaction. For example, an organization can establish a code of conduct with respect to the confidentiality of customer information in monitoring and measuring customer satisfaction (see ISO 10004:2018, 7.3.4).



# Quality management — Customer satisfaction — Guidelines for codes of conduct for organizations

## 1 Scope

This document gives guidelines for planning, designing, developing, implementing, maintaining and improving customer satisfaction codes of conduct.

This document is applicable to product- and service-related codes containing promises made to customers by an organization concerning its behaviour. Such promises and related provisions are aimed at enhanced customer satisfaction. [Annex A](#) provides simplified examples of components of codes for different organizations.

**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, including organizations that design customer satisfaction codes of conduct for use by other organizations. [Annex C](#) gives guidance specifically for small businesses.

This document is aimed at customer satisfaction codes of conduct concerning individual customers purchasing or using goods, property or services for personal or household purposes, although it is applicable to all customer satisfaction codes of conduct.

This document does not prescribe the substantive content of customer satisfaction codes of conduct, nor does it address other types of codes of conduct, such as those that relate to the interaction between an organization and its personnel, or between an organization and its suppliers.

## 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>
- IEC Electropedia: available at <http://www.electropedia.org/>

### 3.1

#### **customer satisfaction code of conduct**

promises, made to *customers* ([3.4](#)) by an *organization* ([3.9](#)) concerning its behaviour, that are aimed at enhanced *customer satisfaction* ([3.5](#)) and related provisions

Note 1 to entry: Related provisions can include objectives, conditions, limitations, contact information, and complaints handling procedures.

Note 2 to entry: Hereafter in this document, the term “code” is used in place of “customer satisfaction code of conduct”.

[SOURCE: ISO 9000:2015, 3.9.5, modified — The term “code” has been added as an admitted term and Note 2 to entry has been replaced.]

3.2  
**complainant**

person, *organization* (3.9) or their representative making a *complaint* (3.3)

3.3  
**complaint**

<customer satisfaction> expression of dissatisfaction made to an *organization* (3.9), related to its product or service, or the complaints-handling process itself, where a response or resolution is explicitly or implicitly expected

Note 1 to entry: Complaints can be made in relation to other processes where the organization interacts with the *customer* (3.4).

Note 2 to entry: Complaints can be made directly or indirectly to the organization.

[SOURCE: ISO 9000:2015, 3.9.3, modified — Notes 1 and 2 to entry have been added.]

3.4  
**customer**

person or *organization* (3.9) that could or does receive a product or a service that is intended for or required by this person or organization

EXAMPLE Consumer, client, end-user, retailer, receiver of product or service from an internal process, beneficiary and purchaser.

Note 1 to entry: A customer can be internal or external to the organization.

[SOURCE: ISO 9000:2015, 3.2.4]

3.5  
**customer satisfaction**

*customer's* (3.4) perception of the degree to which the customer's expectations have been fulfilled

Note 1 to entry: It can be that the customer's expectation is not known to the *organization* (3.9), or even to the customer in question, until the product or service is delivered. It can be necessary for achieving high customer satisfaction to fulfil an expectation of a customer even if it is neither stated nor generally implied or obligatory.

Note 2 to entry: *Complaints* (3.3) are a common indicator of low customer satisfaction but their absence does not necessarily imply high customer satisfaction.

Note 3 to entry: Even when customer requirements have been agreed with the customer and fulfilled, this does not necessarily ensure high customer satisfaction.

[SOURCE: ISO 9000:2015, 3.9.2]

3.6  
**customer service**

interaction of the *organization* (3.9) with the *customer* (3.4) throughout the life cycle of a product or a service

[SOURCE: ISO 9000:2015, 3.9.4]

### 3.7

#### **feedback**

<customer satisfaction> opinions, comments and expressions of interest in a product, a service or a complaints-handling process

Note 1 to entry: Feedback can be given in relation to other processes where the *organization* (3.9) interacts with the *customer* (3.4).

[SOURCE: ISO 9000:2015, 3.9.1, modified — Note 1 to entry has been added.]

### 3.8

#### **interested party**

stakeholder

person or *organization* (3.9) that can affect, be affected by, or perceive itself to be affected by a decision or activity

EXAMPLE *Customers* (3.4), owners, people in an organization, providers, bankers, regulators, unions, partners or society that can include competitors or opposing pressure groups.

[SOURCE: ISO 9000:2015, 3.2.3, modified — Note 1 to entry has been deleted.]

### 3.9

#### **organization**

person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

Note 1 to entry: The concept of organization includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, association, charity or institution, or part or combination thereof, whether incorporated or not, public or private.

[SOURCE: ISO 9000:2015, 3.2.1, modified — Note 2 to entry has been deleted.]

## 4 Guiding principles

### 4.1 General

Effective and efficient planning, design, development, implementation, maintenance and improvement of a code is based on adherence to the customer-focused guiding principles set out in 4.2 to 4.13.

### 4.2 Commitment

The organization should be actively committed to the adoption, integration and dissemination of a code and the fulfilment of its promises.

### 4.3 Capacity

Sufficient resources should be made available for code planning, design, development, implementation, maintenance and improvement, and should be managed effectively and efficiently.

### 4.4 Transparency

A code should be communicated to customers, personnel and other relevant interested parties. Individual customers should be provided with adequate information about the code and its implementation as it applies to them.

### 4.5 Accessibility

A code and relevant information about it should be easy to find and use (see [Annex D](#)).

**4.6 Responsiveness**

The organization should address the needs and expectations of customers and the expectations of other relevant interested parties in its code (see [Annex E](#)).

**4.7 Information integrity**

The organization should ensure that its code, and information about its code, are accurate, not misleading and verifiable, and that data collected are relevant, correct, complete, meaningful and useful.

**4.8 Accountability**

The organization should establish and maintain accountability for, and reporting on, the decisions and actions with respect to its code.

**4.9 Improvement**

Increased effectiveness and efficiency of the code and its use should be a permanent objective of the organization.

**4.10 Confidentiality**

Personally identifiable information used in relation to the code should be kept confidential and protected, unless disclosure is required by law or consent for disclosure is obtained from the person concerned.

NOTE Personally identifiable information is information that when associated with an individual can be used to identify him or her, and is retrievable by the individual's name, address, email address, telephone number or similarly specific identifier. The precise meaning of the term differs around the world.

**4.11 Customer-focused approach**

The organization should adopt a customer-focused approach with respect to the code and should be open to feedback.

**4.12 Competence**

Organization personnel should have the personal attributes, skills, training, education and experience necessary to develop and apply the code.

**4.13 Timeliness**

Code development and implementation should be undertaken as expeditiously as feasible given the nature of the code and of the implementation process used.

**5 Code framework**

**5.1 Context of the organization**

In planning, designing, developing, implementing, maintaining and improving the code and its framework, the organization should consider its context by:

- identifying and addressing external and internal issues that are relevant to the organization's purpose and that affect its ability to achieve code objectives;
- identifying the interested parties that are relevant to the code and its framework, and addressing the relevant needs and expectations of these interested parties;

- identifying the scope of the code and its framework, including their boundaries and applicability, and taking into account the external and internal issues and the needs of interested parties noted above.

## 5.2 Establishment

A code should be supported by an organizational framework for decision-making and action to use in code planning, design, development, implementation, maintenance and improvement. This framework involves resource assessment, provision and deployment needed to carry out the interrelated activities to fulfil code objectives (see [Annex F](#)). It also includes leadership and commitment, assignment of appropriate responsibilities and authorities, and training throughout the organization.

When establishing and using a code, the organization should consider and address risks and opportunities that can arise. This involves:

- monitoring and evaluating processes and external and internal factors concerning risks and opportunities;
- identifying and assessing specific risks and opportunities;
- planning, designing, developing, implementing and reviewing corrective actions and improvements pertaining to identified and assessed risks and opportunities.

As defined in ISO 9000:2015, 3.7.9, risk is the effect of uncertainty, which can be negative or positive. In the context of the code, an example of a negative effect is customer dissatisfaction resulting from insufficient resources to fulfil code promises, and an example of a positive effect is that the organization reconsiders the resources associated with the fulfilment of code promises as a result of a review of the code framework. These risks can be addressed by reviewing the allocation and deployment of resources leading to the provision of additional resources or the development of less costly ways to fulfil code promises.

An opportunity is related to identification of a new possible way of realizing positive outcomes, which does not necessarily arise from the organization's existing risks. For example, the organization can identify a new product, service or process as a result of a customer suggestion provided in the course of fulfilment of a code promise.

## 5.3 Integration

The code framework should be based on, and integrated with, the quality and other management systems of the organization, where appropriate.

# 6 Planning, design and development

## 6.1 Determine code objectives

The organization should determine the objectives to be achieved by the code.

Code objectives should be articulated in such a manner that their fulfilment can be measured using performance indicators as identified by the organization.

## 6.2 Gather and assess information

Information should be gathered and assessed concerning:

- the issues that the code is attempting to deal with;
- how these issues arise;
- how these issues could be dealt with;



- how and to what extent these issues affect the organization’s activities that are not related to the code;
- how other organizations are dealing with these issues;
- possible resources and other implications of dealing with these issues through use of a code;
- applicable statutory and regulatory requirements associated with dealing with these issues through use of a code;
- risks and opportunities associated with code development, evaluation and review.

NOTE This information is intended to assist the organization in articulating the code’s purposes and in determining an appropriate approach to code development, evaluation and review that is aligned with the organization’s other activities. Guidance on factors to consider in adopting a code prepared by another organization (e.g. an industry or professional association) is provided in [Annex G](#).

**6.3 Obtain and assess input from relevant interested parties**

It is important for the organization to obtain and assess the input from relevant interested parties (e.g. customers, suppliers, industry associations, consumer organizations, relevant government agencies, personnel, owners) concerning code content and use (see [Annex E](#)). The organization should understand the related customer expectations and perceptions.

**6.4 Prepare code**

Based on the information and input that the organization has gathered, the organization should prepare a code (see [Annex H](#)). The code should be clear, concise, accurate and not misleading, written in simple language, and should include:

- the code’s scope and purpose appropriate to the organization and its customers;
- the promises made by the organization to its customers that can be fulfilled, and any limitations concerning those promises;
- definitions of key terms used in the code;
- how and to whom enquiries and complaints about the code should be directed;
- a description of what action will be taken if the code promises are not fulfilled.

NOTE Enquiries and complaints can pertain to both the content of the code and its use. See [ISO 10002](#) and [ISO 10003](#) for guidance.

In preparing the code, the organization should ensure that the code can be effectively implemented and that its provisions are not in violation of prohibitions against deceptive or misleading advertising and against anti-competitive activity. The organization should also ensure that the code’s provisions take into account any other relevant codes and standards.

The organization should consider testing the code to determine the need for adjustments.

**6.5 Prepare performance indicators**

The organization should prepare quantitative or qualitative performance indicators designed to assist in understanding whether the code is successful in fulfilling its objectives.

NOTE Performance indicators associated with a code can include grading or ranking from customer satisfaction surveys, or statistics regarding complaints and their resolution. Examples are given in [Annex A](#).



## 6.6 Prepare code procedures

The organization should prepare code implementation, maintenance and improvement procedures, including how enquiries and complaints are dealt with. The organization should identify and deal with any obstacles to the effective use of the code, and identify any possible incentives that would assist in code implementation, maintenance and improvement. Procedures will vary depending upon the nature of the code and the organization that uses it.

NOTE Examples of activities that can be the subject of procedures include:

- communicating the code to customers;
- training relevant personnel on the code;
- resolving instances where code promises are not met;
- recording enquiries and complaints about the code;
- recording and evaluating performance of the code;
- using and managing records;
- disclosing of information regarding code fulfilment (see [Annex I](#)).

## 6.7 Prepare internal and external communication plan

The organization should develop a plan to make its code, and supporting information (e.g. feedback form), available to personnel and other parties involved in code application (see [Annex I](#)).

## 6.8 Determine resources needed

The organization should determine the resources needed to fulfil code promises and to provide adequate remedies in cases of non-fulfilment of the code (e.g. customer compensation). Resources include personnel, training, procedures, documentation, specialist support, materials and equipment, facilities, computer hardware and software, and finances.

# 7 Implementation

The organization should manage implementation activities as planned, in a timely manner.

The organization should, at appropriate levels within the organization:

- a) apply relevant procedures, and internal and external communication plans;
- b) provide appropriate remedies to customers (e.g. compensation);
- c) take necessary action to address cases promptly where the code provisions are not fulfilled; these actions can be initiated following a complaint about the code or as a result of information gathered by the organization regarding code performance.

The organization should record:

- resource usage in code application;
- the type of training and instruction regarding the code that personnel have received;
- application of the internal and external communication plans;
- handling of enquiries or complaints about the code, and remedial actions undertaken by the organization.

## 8 Maintenance and improvement

### 8.1 Collection of information

The organization should regularly and systematically collect information needed for the effective and efficient evaluation of code performance, including information, input and records described in [Clauses 6](#) and [7](#). Information collected should be relevant, correct, complete, meaningful and useful.

### 8.2 Evaluation of code performance

The organization should regularly and systematically evaluate the performance of the code. This evaluation should include verification and analysis of fulfilment of overall code objectives and code promises.

Enquiries and complaints about the code or its use should be classified and analysed to identify systemic, recurring and single incident problems and trends, and to help eliminate the underlying causes of complaints about the code.

**NOTE** In addition, it is advisable that the organization takes steps to determine whether enquiries and complaints about products and services or processes that do not mention the code are nonetheless related to provisions of the code. These enquiries and complaints can reveal misapplication of code provisions.

To evaluate the impact of the code, information is needed on the situation prior to the code being launched, and at appropriate intervals afterwards. This information can be used not only to determine weaknesses in code design and implementation, but also to demonstrate results achieved (if any) and progress made through use of the code.

### 8.3 Evaluation of the satisfaction with the code

There should be regular and systematic action taken to determine customer satisfaction with the code and its use. This can take the form of random surveys of customers and other techniques.

**NOTE 1** One method of evaluating customer satisfaction is the simulation of a contact of a customer with the organization concerning a matter addressed in a code, where this is permitted by law.

**NOTE 2** See [ISO 10004](#) for guidance on monitoring and measuring customer satisfaction.

### 8.4 Review of the code and code framework

The organization should review the code and its framework on a regular and systematic basis in order to:

- a) maintain their suitability, adequacy, effectiveness and efficiency;
- b) address significant instances of non-fulfilment of the code promises;
- c) assess the need and opportunities for improvement;
- d) evaluate the effectiveness of the actions taken in relation to risks and opportunities;
- e) provide for related decisions and actions, as appropriate.

In conducting the review, the organization should include relevant information on:

- changes to the code and its framework;
- changes in statutory and regulatory requirements;
- changes in practices of competitors or technological innovations;
- changes in societal expectations;

- fulfilment of the code promises;
- risks and opportunities, including the related actions;
- status of corrective actions;
- feedback on the code;
- products and services offered;
- actions decided at previous reviews.

## 8.5 Continual improvement

The organization should continually improve the code and code framework in order to increase customer satisfaction, using such means as corrective actions, actions taken in relation to risks and opportunities, and innovative improvements.

The organization should take action to eliminate the underlying causes of existing and potential problems leading to complaints, in order to prevent recurrence and occurrence, respectively.

An organization using a code developed by another organization should inform the other organization of any problems which arise during use.

The organization should:

- explore, identify and apply best practices in the structure, content and use of a code;
- foster a customer-focused approach within the organization;
- encourage code innovation;
- recognize examples of outstanding performance and practices related to the code.

Annex A  
(informative)

Simplified examples of components of codes for different organizations

Table A.1 — Simplified examples of components of codes for different organizations

Example of code component	Type of organization				
	Pizza delivery company	Medical clinic	Retailer association	Hotel	Train
Promise	“If the pizza is not delivered hot and within 30 minutes, the pizza is free”	“Patients will be told promptly of any delayed appointment, and given the option of another time”	“If scanned price of an item is higher than displayed price, the individual or business customer is entitled to receive the item free”	“If the guest is not satisfied with the service, the hotel will make every effort to make it right or the guest will receive a discount”	“If the train is late, the wash-room is dirty or the service is discourteous, the customer will be reimbursed the price of the ticket”
Limitations on the promise, communicated to the customer	Geographic, weather or traffic condition limits	Emergencies disrupting regularly scheduled appointments	Does not apply to behind-the-counter cosmetics and individually priced items	Circumstances beyond the control of the hotel	Severe weather conditions
Other code provisions	Statement that cost of late pizza is not deducted from wages of pizza deliverer	Statement of availability of doctors outside of normal hours	Statement of code objective: “to maintain accurate scanner pricing”	Statement of code objective: “complete guest satisfaction”	Statement of code objective: “clean, punctual trains and courteous service”
Supporting information	How to make a complaint	How to make an enquiry	How to make an enquiry or complaint	How to get a discount	Where refund can be obtained
Code planning, design, development and implementation activity	Pilot test programme	Customer service training	Consult with members of the association	Use focus groups to determine most appropriate remedy	Educate personnel in dealing with public
Maintenance and improvement activity	Conduct survey, and make changes to code wording as a result	Evaluate complaint data	Involve consumer organizations in review of data	Revise marketing campaign	Change procedures for cleaning wash rooms
Performance indicators	Percentage of on-time deliveries	Percentage of patients informed	Percentage of mis-priced items	Percentage of dissatisfied guests	Percentage of passenger complaints

## **Annex B** (informative)

### **Interrelationship of this document, ISO 10002, ISO 10003 and ISO 10004**

[Figure B.1](#) illustrates the organization's processes related to code of conduct, complaint handling, external dispute resolution, and customer satisfaction monitoring and measuring.

NOTE A complaint can be initiated by a customer or another complainant.

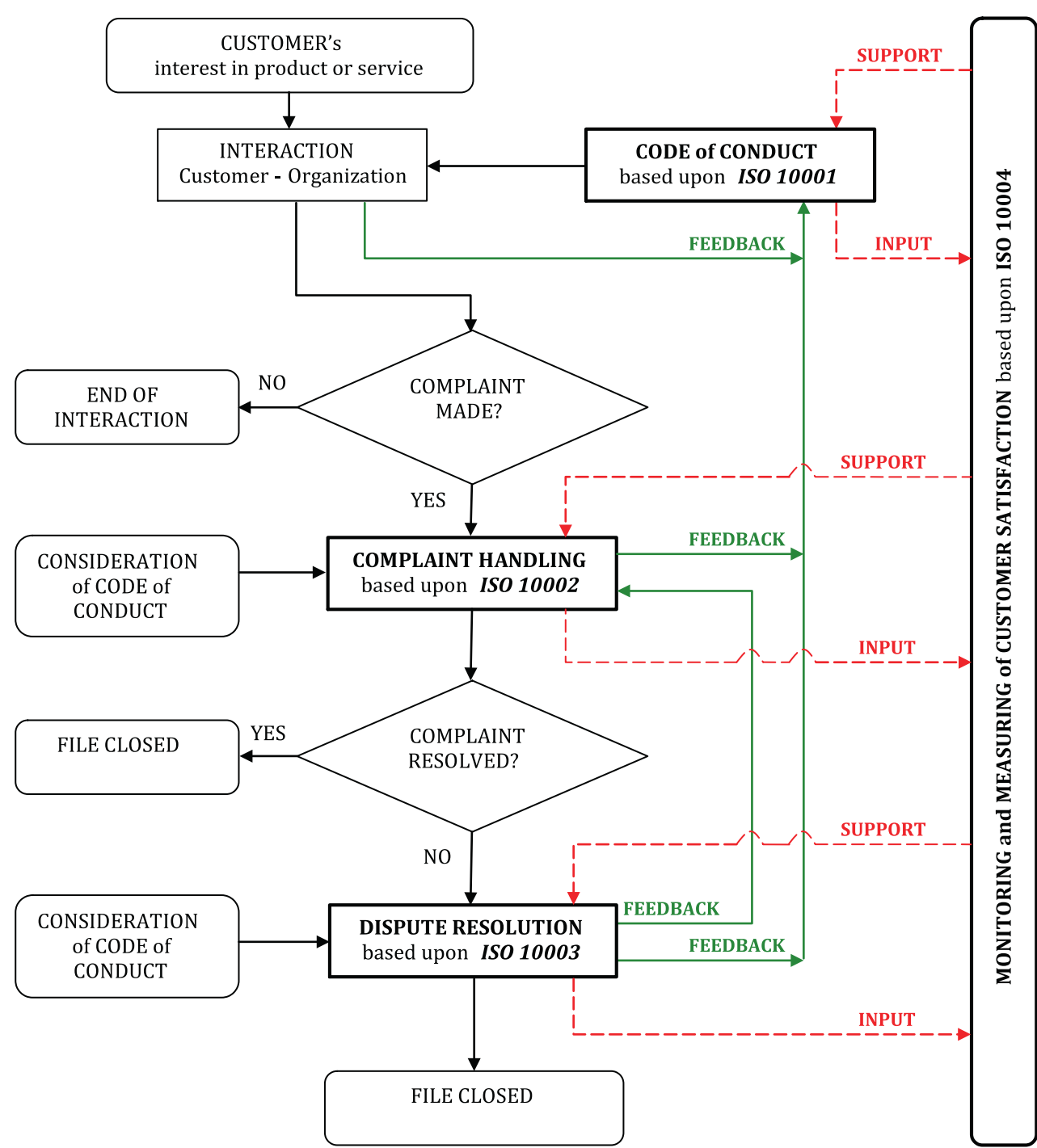


Figure B.1 — Interrelationship of this document, ISO 10002, ISO 10003 and ISO 10004

## **Annex C** **(informative)**

### **Guidance for small businesses**

This document is intended for organizations of all sizes. However, it is recognized that many small organizations will have limited resources for planning, designing, developing, implementing, maintaining and improving a customer satisfaction code. The examples below highlight key areas where organizations can focus their attention to achieve an appropriate code, with suggestions for action in each.

- Examine the codes used by other organizations and determine whether they could be useful to your organization.
- Consider adhering to an established code (e.g. participate in a code programme run by an industry or professional association).
- Ask customers and business colleagues what they would most like to see as a promise to the customer.
- Consider what changes to the current operations of the organization would be necessary to effectively and efficiently fulfil the code promises, including relevant procedures, training, new staffing, changes to facilities, new equipment or communications.
- Consider how your organization could measure whether or not it has been effectively and efficiently fulfilling its promises.
- Test how well the code works on a trial basis before finalizing it and making it widely known.
- Put in place a simple procedure for customers to enquire or complain about the code or its implementation.
- Consider participating in an external dispute resolution programme.
- Review applicable laws and regulations (e.g. consumer protection laws).
- Communicate to customers, through signs, advertisements and other means, that a code is in operation.
- Regularly review how well the organization is fulfilling its promises, by asking customers and business colleagues their views on the code and its implementation, and make changes to ensure that the code is still suitable, adequate, effective and efficient.

**Annex D**  
**(informative)**

**Guidance on accessibility**

An organization should make its code and supporting information (e.g. complaints form) available to its customers, personnel and other relevant interested parties. The organization should take into account the range of potentially interested persons (which can include children, older persons, people with different abilities). Consequently, information and assistance concerning the code should be made available in whatever languages or formats are used in the information pertaining to the products and services when offered or delivered, so that customers who wish to refer to the code are not disadvantaged. An organization participating in a code programme of another organization (e.g. an industry or professional association) should make its programme accessible by referring customers and other relevant interested parties to the other organization.

Information should be written in clear and unambiguous language, and it should be available in alternative formats suitable for existing and potential customers, such as audio, large print, large raised letters, Braille, by email or on an accessible website.

**NOTE** An alternative format describes a different presentation or representation intended to make information accessible through a different modality or sensory ability. By providing all input and all output (i.e. information and functions) in at least one alternative format (e.g. visual and tactile), more people, including some with language/literacy problems, can be helped. Presentation factors that can affect legibility and ease of understanding include:

- layout;
- print colour and contrast;
- size and style of font and symbols;
- the choice and use of multiple languages.

Instructions for use of products by consumers is given in ISO/IEC Guide 37.



## **Annex E** **(informative)**

### **Guidance on input from interested parties**

The organization should identify relevant interested parties and listen to their views. The organization should:

- a) consider the range of methods available for obtaining input, including public meetings, focus groups, questionnaires and surveys, advisory committees, workshops and electronic discussion groups;
- b) determine the financial and human resources associated with obtaining input from relevant interested parties.

For the process of obtaining input from relevant interested parties to be effective, organizations should:

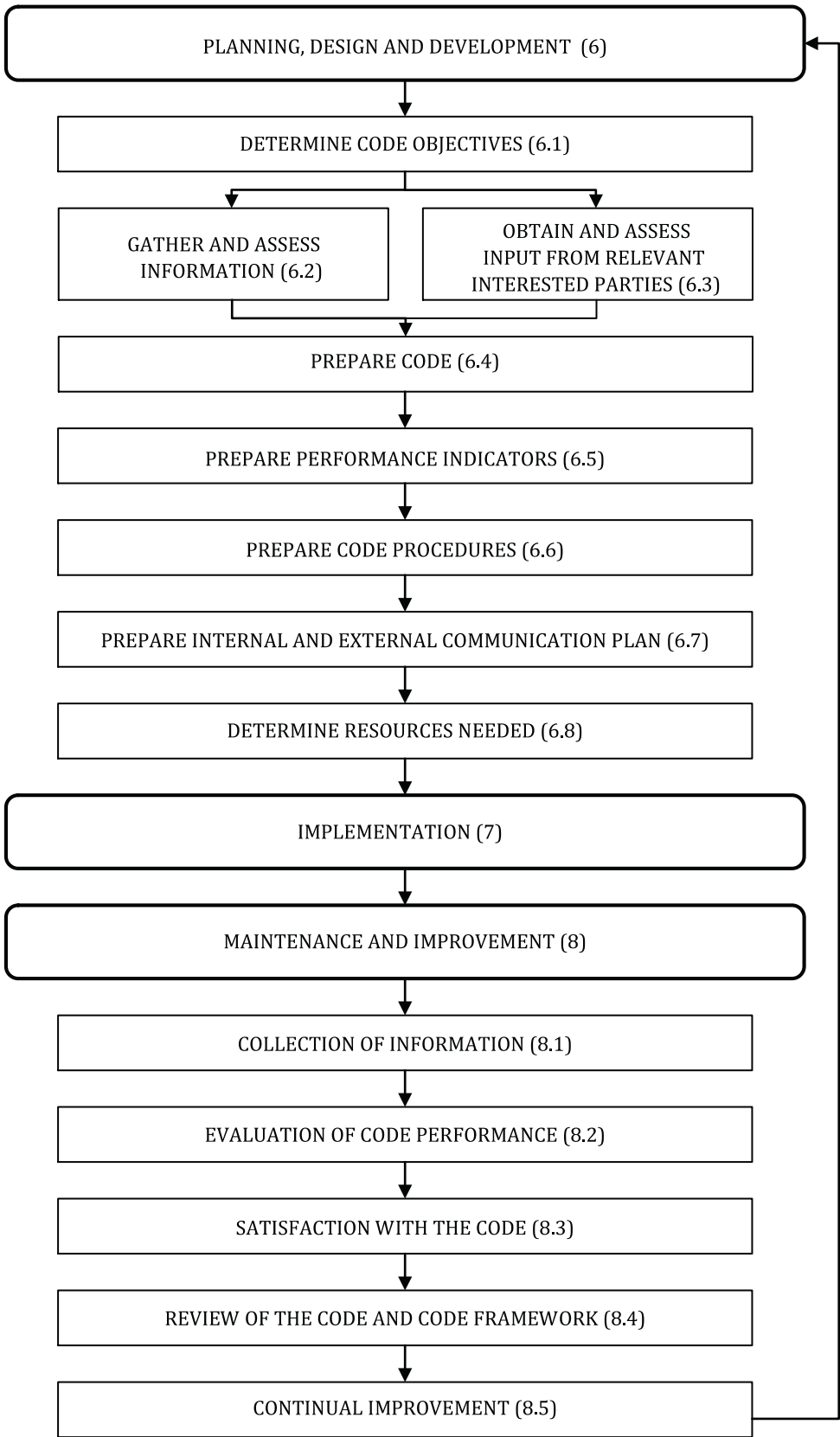
- articulate the purpose of the process (including objectives, scope of the process, and what the end outcome will look like);
- determine the timelines for the process appropriately, such that they will allow relevant interested parties to participate, and include some flexibility for unforeseen developments;
- involve the appropriate interested parties;
- ensure that the confidentiality of information from parties providing input is maintained, where appropriate;
- ensure that the appropriate mechanisms for obtaining input are being used and that this is appropriately funded;
- ensure that the ground rules of the process are understood and accepted by the parties.

Upon completion of the process of obtaining input from relevant interested parties, the organization should use the results in subsequent code planning, design, development, implementation, maintenance and improvement activities. The organization should communicate to relevant interested parties how the results of this process have been used. An evaluation of the effectiveness and efficiency of the process for obtaining input from relevant interested parties should be undertaken.

**Annex F**  
(informative)

**Code framework**

[Figure F.1](#) illustrates the organizational framework for decision-making and action to use in code planning, design, development, implementation, maintenance and improvement.



**Figure F.1 — Code framework**

## **Annex G**

### **(informative)**

### **Guidance on adopting a code provided by another organization**

An organization can consider adopting a code prepared by another organization (referred to as a “code provider”) or participating in a code provider’s programme. Factors to consider are those listed below.

- Is the code appropriate and suitable for the organization?
- What is the reputation of the code provider (e.g. is it well regarded by customers, other businesses and governments; does the code provider have significant influence on the sector)?
- What process did the code provider undergo in designing and developing the code? Was it open to all relevant interested parties? What has been the experience of other organizations with the code provider and its code?
- Does the code have a high profile in the marketplace?
- What are the costs and benefits of participation in the code provider’s programme?
- Does the code provider monitor and ensure that the code is followed and, if so, how?
- Is the code mandatory for the organization adopting the code and what are the consequences of not following it?
- Does the code provider have sufficient resources to ascertain incidents where the code is not followed and to respond to them?
- What training does the code provider make available to its staff and to those who choose to follow the code?
- What incentives (and disincentives) are given by the code provider to encourage organizations to follow the code?
- What information is to be disclosed to the code provider by the organization adopting the code?
- What information does the code provider disclose to the public, to government and to organizations that adopt the code (e.g. monthly, quarterly, bi-annual or annual reports)?

## **Annex H** **(informative)**

### **Guidance on preparing the code**

The code should be consistent with the code objectives. The code will vary depending on the size and nature of the organization, but there is generally considerable value in:

- making the scope and parameters of the code clear (e.g. whether this applies to all of the organization's products and services or only some; whether it applies throughout a geographic area or only in limited locations);
- making known any exemptions or exceptions (e.g. the promises do not apply in designated peak periods or in designated unusual circumstances);
- providing clear definitions of key terms;
- avoiding jargon, abbreviations or acronyms, where possible;
- clearly setting out the consequences and the procedures to follow if the promises are not met;

NOTE This could involve guidance on complaints handling and external dispute resolution processes, as provided by [ISO 10002](#) and [ISO 10003](#).

- providing appropriate information to the customer about the code at relevant times (e.g. an organization offering products and services online can provide information about privacy protection on its website, at the point of collection, and immediately prior to the customer purchasing products and services);
- providing information on the person for the customer to contact, and how to contact that person with any questions, complaints or comments;
- ensuring that the code can be effectively and efficiently implemented and that code provisions are not in violation of prohibitions against deceptive or misleading advertising and against anti-competitive activity.

# Annex I

## (informative)

### Guidance on preparing communication plans

#### I.1 General

The organization should develop a plan to make its code, and supporting information, available to personnel and other parties involved in code implementation. This communication plan will depend upon the size and type of organization and the nature of the code but should include:

- identifying the internal and external audience, and their particular needs and expectations;
- identifying resources available to address communication;
- identifying and selecting possible communication methods;
- reviewing their relative advantages, disadvantages, effectiveness and cost (e.g. use of logos, advertising, point-of-sale communications);
- providing relevant information to personnel and other parties involved in code implementation, both within and outside the organization.

#### I.2 Internal communication

Information should include:

- code objectives and interpretation of code provisions;
- how to implement the code, including the responsibilities of personnel concerning code implementation and communication of information;
- related information on the complaints handling process and any dispute resolution provision;
- relevant customer satisfaction information.

NOTE With respect to complaints handling, dispute resolution and customer satisfaction information, organizations can use the guidance provided in [ISO 10002](#), [ISO 10003](#) and [ISO 10004](#), respectively.

Personnel should also be made aware of all publicly available information.

#### I.3 External communication

Information for customers, complainants and other relevant interested parties should be made readily available, e.g. through brochures, pamphlets, labelling and website material. The information should be provided in an accurate and clear manner using appropriate languages and alternative formats (see [Annex D](#)). Such information may include:

- the promises made by organizations to customers;
- where and how enquiries and complaints about the code, or issues addressed by the code, can be made;
- how an enquiry or complaint will be handled, including how feedback will be provided on its status and the time frames associated with each stage of this process;

- the options for acknowledgement of an enquiry and for remedies to a complaint;
- the availability of any external dispute resolution process;
- results of code application, including relevant customer satisfaction information.

NOTE With respect to complaints handling, dispute resolution and customer satisfaction information, organizations can use the guidance provided in [ISO 10002](#), [ISO 10003](#) and [ISO 10004](#), respectively.

The organization should protect the personal information and ensure the confidentiality of those who make enquiries and complaints.

# Bibliography

- [1] ISO 9001:2015, *Quality management systems — Requirements*
- [2] [ISO 9004](#), *Quality management — Quality of an organization — Guidance to achieve sustained success*
- [3] [ISO 10002](#), *Quality management — Customer satisfaction — Guidelines for complaints handling in organizations*
- [4] [ISO 10003](#), *Quality management — Customer satisfaction — Guidelines for dispute resolution external to organizations*
- [5] ISO 10004:2018, *Quality management — Customer satisfaction — Guidelines for monitoring and measuring*
- [6] ISO/IEC Guide 37, *Instructions for use of products by consumers*





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