



申诉和投诉处理程序

ZAZH-QP-11

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编制: 包艳梅

审核: 张国禹

批准: 张国禹

北京中安质环认证公司有限公司/**ZA-FCAV**

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修改记录

序号	修改次数	修改日期	修改条款	修改内容简述	修改人
1	1	2024.12.20	3.3/4.2/4.3/5.1 4)/ 5.2.2/6.1 5)/6.3.2	增加“各利益相关方”描述；修 订细化 4.2/4.3 等条款；增加 6.3.2	包艳梅
2	2	2025.5.23	6.3.2/10	修改为参见“《IATF 审核员绩效考 核制度》(ZAZH-WI-19)”； 10 修改相关文件的名称	李玲玲
3	3	2025.7.31	3.3/5.1/5.2.3/5. 2.6/6.1/6.2.3/6. 3.2/10, 全文翻译	增加有关审核员考试和培养过程 出现的申投诉管理内容； 转换成中英文版	包艳梅



申诉和投诉处理程序

1 目的

为保证：

- 1) 所有申诉/争议均得到公正处理；
- 2) 所有有效的投诉都得到公平和迅速的处理；
- 3) 所有申诉/争议和投诉都尽可能友好解决；
- 4) 所有申诉/争议和投诉均以非歧视方式处理；
- 5) 所有 IATF 16949 认证过程的完整性得到维护并不断改进；
- 6) IATF 16949 认证的公正性、保密性得到维护。

2 适用范围

本程序适用于与北京中安质环认证中心有限公司（以下简称“公司”）IATF 16949 认证活动有关的客户申诉和利益相关方投诉及争议的处理。

3 职责

3.1 汽车认证总经理应为申诉和投诉的处理安排足够可用的资源。

3.2 项目负责人将公司公开文件提供给申请方和获证客户，使其清楚了解公司关于申诉和投诉和争议的处理方法与处理过程。

3.3 人员管理员负责组织处理公司员工（含管理人员和审核员的申投诉），将处理材料汇总到技术部。

3.4 技术管理岗具体负责各利益相关方（政府、员工、股东、供应商、工会、其它社会组织等）申诉和投诉的接收、登记、受理、调查、评价和记录、向提出投诉或申诉的个人或组织通报进度和结果，以及过程资料、记录的归档保存工作。

3. 一般申诉和投诉由技术管理岗负责组织调查和处理，由汽车认证管理者代表对处理意见进行批准；重大申诉和投诉由汽车认证管理者代表负责组成工作组调查处理，由汽车认证总经理对处理意见进行批准。

4 申诉和投诉的渠道和方式

4.1 公众可在公司官网访问申诉和投诉渠道，获取申诉和投诉有关公开文件，或根据要求向投诉方及任何利益相关方提供投诉处理流程的详细信息。

4.2 书面申诉和投诉应采取书面形式，写清楚申投诉的具体事由并附证据及投诉方姓名、联系方式。口头举报或来人反映，应提供所投诉事件的具体细节、证明材料和投诉人姓名，

4.3 公司技术管理岗按上述职责开展接收、登记、受理、调查等工作。

4.4 公司不受理匿名投诉。

5 申诉

5.1 申诉的范围

申诉的范围包括：

- 1) 对公司所作出的审核结论不满；



- 2) 对公司不予认证注册不满;
- 3) 对公司暂停/撤销其认证资格不满;
- 4) 公司员工, 包括管理人员和审核员对公司的相关决策不满;
- 5) 其他各利益相关方认证活动相关的事宜。

5.2 申诉的处理程序

- 5.2.1 受审核方或获证客户在接到公司的决定或措施通知后 30 日内向公司提出申诉。
- 5.2.2 申诉应按 4.1 和 4.2 渠道和方式提出。
- 5.2.3 收到申诉信息后, 技术管理岗填写《申诉和投诉记录》, 一般申诉由技术部或相关部门调查处理; 重大申诉由汽车认证管理者代表负责组成工作组调查处理。若收到重大申诉, 应尽快上报申诉处理工作组, 由工作组对申诉情况进行调查、确认、分析、取证:
 - 1) 要求申诉方与被申诉方均应提供充分的事实证据和书面材料;
 - 2) 安排申诉方与被申诉方代表充分陈述理由;
 - 3) 对申诉理由和事实进行调查、确认、分析和取证;
 - 4) 确定发生申诉的根本原因, 提出回应申诉的适当的纠正和系统的纠正措施。
- 5.2.4 技术管理岗或工作组经过调查、确认、分析和取证结果, 编制书面报告提交汽车认证管理者代表。
- 5.2.5 汽车认证管理者代表召开会议, 审定处理结果, 必要时可以参考以前类似申诉的结果。
- 5.2.6 申诉理由成立, 属公司责任, 汽车认证管理者代表负责按照《纠正和纠正措施管理程序》(ZAZH-QP-16) 中有关规定, 组织相关人员分析不符合产生的根本原因, 采取纠正和系统纠正措施, 形成文件并验证其有效性; 如果认为对受审核方或获证客户应予复审时, 按照认证程序中的要求实施复审。
- 5.2.7 申诉中的问题不属于公司的责任, 但与公司认证审核工作有关, 应举一反三, 采取适当的改进措施。
- 5.2.8 申诉理由成立, 申诉调查处理费用及复审费用由公司承担。申诉理由不成立, 由申诉方负担费用。
- 5.2.9 申诉的确认和调查处理进展情况和最终处理结果, 由技术管理岗以书面形式送交申诉方。最终处理结果自正式受理申诉起, 最迟不超过 6 个月。
- 5.2.10 申诉方对申诉处理结果有异议时, 可再次向公司申诉, 也可向国家认证监管机构或 IATF 上诉。

6 投诉

6.1 投诉的范围

出现下列情况, 任何单位或个人均有权向公司或相关方投诉:

- 1) 获证方管理体系不符合认证要求;
- 2) 获证方滥用认证证书和标志;
- 3) 获证方的产品或服务/质量/环境/健康/安全等方面发生重大问题;
- 4) 公司有关部门或工作人员违反认证工作有关规定;
- 5) 审核员考试和培养过程中违反相关规定;
- 6) 其他各利益相关方认证活动相关的事宜。

6.2 投诉的受理、确认和调查

- 6.2.1 对投诉的受理、确认和调查程序, 按照本程序 5.2.2—5.2.10 条款的要求执行。
- 6.2.2 接到投诉时, 由技术管理岗确认是否与认证活动有关, 经确认有关时予以处理。如果投诉与获证有关, 应与获证客户充分沟通, 并考虑其质量管理体系的有效性, 必要时安排特殊审核。



6.2.3 投诉涉及审核员考试和培养过程的，由技术部确认后传递至人员管理员组织调查处理，根据需要开具不符合并进行纠正，采取纠正措施。

6.3 投诉的处理

6.3.1 针对获证客户的投诉内容属实时：

- 1) 调查人员编制进度报告和调查结果，递交获证方签字确认，并限期采取纠正措施报公司验证；
- 2) 将不符合列入监督检查主要内容，对其纠正措施的实施情况现场验证其效果，必要时，增加监督审核频次；
- 3) 获证方若对投诉不采取纠正措施予以纠正，可视情况暂停获证方认证资格，按授予、保持、更新、暂停、撤销认证或扩大、缩小认证范围控制程序中有关条款执行；
- 4) 对于投诉事项影响到获证方的认证资格的，由公司按授予认证相应的程序根据调查结果做出与认证资格相关的决定；
- 5) 属于公司责任时，公司管理者代表负责按照规定采取纠正和预防措施，形成文件并验证其有效性；
- 6) 不属于公司责任，但与公司认证审核工作有关，应举一反三，采取适当的改进措施。

6.3.2 针对审核员的投诉内容属实时：

6.3.2.1 若涉及收取红包、欺诈活动或不道德行为的投诉，需 3 日内上报 IAOb。后续进一步处理参见《IATF 审核员绩效考核制度》（ZAZH-WI-19）。

6.3.2.2 若涉及审核员考试和培养过程，按照公司《审核员手册》的有关规定进行处理。

6.3.3 投诉内容不属实，调查的费用由公司负担，投诉内容属实，费用由被指控方负担。无论投诉内容属实与否，技术管理岗都应在 45 个工作日内将处理结果书面通知投诉方。

6.3.4 投诉方或被投诉方对公司的处理仍有异议，可向公司提起申诉，也可向国家认证监管机构或 IATF 上诉。

6.3.5 公司与获证客户及投诉人共同决定是否将投诉事项公开，并在决定公开时，共同确定公开的程度。

7 争议

7.1 争议的提出

7.1.1 在认证过程中提出的争议，一般由审核组长与受审核方依据认可规范协商处理。对经协商仍不能取得一致意见的，审核组长可做出审核组的相关结论，但应将争议的情况在 10 个工作日内报告公司。受审核方也可以在 10 个工作日内将争议的事项向公司提出。

7.1.2 在其他场合发生的争议，相关方应在争议所涉及事件发生后 10 个工作日内以书面文件形式向公司提出。

7.2 争议的受理

技术部收到争议申请后，转由相关部门负责答复和解释处理，本着充分地交换意见、以平等协商的方式解决，力求达到统一和双方满意。无法达成一致意见的由技术部提请技术委员会处理，必要时提交公司管理委员会处理。并在收到争议后的 30 个工作日内将争议的处理结果通知争议提出人。争议提出人对处理结果不满意的，可以通过申诉、投诉程序向技术部提出申诉或投诉。

8 记录

各部门/区域办公室对申诉、投诉和争议的有关文件、资料和处理情况及报告进行记录，其中应包括



为解决申诉、投诉而采取的措施，索赔所采取的措施记录等，并将这些记录交技术部一份归档保存。

9 约束规则

- 9.1 公司将以公正、非歧视且严谨的方式受理、评价、调查和处理申诉、诉和争议，并对处理过程中的所有决定负责。申诉和投诉的决定由与申诉和投诉无关的人员做出，或经其审查和批准，告知申诉和投诉人。
- 9.2 申诉和投诉处理工作人员对所涉及到的任何与申诉和投诉有关的非公开情况负有保密的责任。
- 9.3 参与申诉和投诉和争议处理工作的所有工作人员，均应保持客观公正。
- 9.4 参与申诉和投诉调查处理的人员，应与申诉和投诉组织无任何直接或间接关系，不是进行审核和做出相关认证决定的人员。
- 9.5 申诉过程不影响不符合管理或认证证书退出过程的时间安排。

10 相关文件

《纠正和预防措施管理程序》（ZAZH-QP-16）
《IATF 审核员绩效考核制度》（ZAZH-WI-19）
[《审核员手册》（ZAZH-WI-16）](#)

11 相关记录

《申诉和投诉记录》（ZAZH-FM-56）
《申诉和投诉汇总表》（ZAZH-FM-58）
《不符合项及纠正措施表》（ZAZH-FM-67）



Appeal and Complaint Handling Procedures

ZAZH-QP-11

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Prepared by: **Bao Yanmei**

Reviewed by: **Zhang Guoyu**

Approved by: **Zhang Guoyu**

Beijing Zhong An Zhi Huan Certification Center Co., Ltd. / ZA-FCAV

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Modification Records

serial number	Number of modifications	Date modified	Modification of Terms	Brief description of the changes	Modified by
1	1	2024.12.20	3.3/4.2/4.3/5.1 4)/5.2.2/6.1 5)/6.3.2	Add a description of "various stakeholders"; revise and refine clauses 4.2/4.3; Increase 6.3.2	Bao Yanmei
2	2	2025.5.23	6.3.2/10	Revised to see "IATF Auditor Performance Appraisal System" (ZAZH-WI-19); 10 Modify the name of the related file	Li Lingling
3	3	2025. 7. 31	3. 3/5. 1/5. 2. 3/5. 2. 6/6. 1/6. 2. 3/6. 3. 2/10, translation of the document	Add the content related to complaint management during the auditor examination and training process; Convert to Chinese-English version	Bao Yanmei



Appeal and Complaint Handling Procedures

1 Objective

To ensure:

- 1) All Appeals/disputes are dealt with fairly.
- 2) All valid complaints are dealt with fairly and expeditiously.
- 3) All Appeals/disputes and complaints are resolved amicably as far as possible.
- 4) All Appeals/disputes and complaints are handled in a non-discriminatory manner.
- 5) The integrity of all IATF 16949 certification processes is maintained and continuously improved.
- 6) The impartiality and confidentiality of IATF 16949 certification are maintained.

2 Scope of application

This procedure applies to the handling of customer complaints and stakeholder complaints and disputes related to the IATF 16 949 certification activities of Beijing Zhong An Zhi Huan Certification Center Co., Ltd. (hereinafter referred to as the "Company").

3 Duty

3.1 The General Manager of Automotive Certification shall arrange for the handling of Appeals and complaints with sufficient resources available.

3.2 The project leader shall provide the company's public documents to the applicant and the certified customer, so that they can clearly understand the company's handling methods and procedures for Appeals and complaints and disputes.

3.3 The personnel manager is responsible for organizing and handling the complaints from company employees (including management personnel and auditors), and consolidating the handling materials into the technical department.

3.4 The technical management post is specifically responsible for the reception, registration, acceptance, investigation, evaluation and recording of complaints and complaints from various stakeholders (government, employees, shareholders, suppliers, trade unions, other social organizations, etc.), and informing the individuals or organizations that make complaints or complaints of progress and results, as well as process data. Archiving and preservation of records.

3.5 The technical management post is responsible for organizing the investigation and handling of general complaints and complaints, and the representative of the automobile certification management authority shall approve the handling opinions; Major Appeals and complaints shall be investigated and handled by a working group formed by the representative of the automobile certification management authority, and the handling opinions shall be approved by the general manager of automobile certification.

4 Channels and methods of Appeals and Complaints

4.1 Members of the public may access the Appeal and complaint channels on the Company's website, obtain public documents relating to Appeals and complaints, or provide details of the complaint handling process to the



complainant and any interested parties upon request.

4.2 Written appeals and complaints shall be in written form, clearly stating the specific reasons for filing the complaint, and attaching evidence and the name and contact information of the complainant. For oral reports or feedback, the specific details of the complained incident, supporting materials and the name of the complainant should be provided

4.3 The company's technical management post shall carry out receiving, registration, acceptance, investigation and other work according to the above responsibilities.

4.3 The Company does not accept anonymous complaints.

5 Complaint

5.1 Scope of complaint

The scope of the complaint includes:

- 1) Dissatisfied with the audit conclusions made by the company.
- 2) Dissatisfied with the company's refusal to certify and register.
- 3) Dissatisfied with the company's suspension/revocation of its accreditation.
- 4) The company's employees, including managers and auditors, are dissatisfied with the company's relevant decisions.
- 5) Other matters related to the certification activities of various stakeholders.

5.2 Procedures for Handling Complaints

5.2.1 The auditee or certified customer shall file an appeal with the Company within 30 days after receiving the notice of the Company's decision or action.

5.2.2 Appeals shall be lodged through the channels and methods of 4.1 and 4.2.

5.2.3 After receiving the complaint information, the technical management post fills in the "Complaint and Complaint Record", and the general complaint is investigated and handled [by technical department or relevant departments](#); Major complaints shall be investigated and handled by a working group formed by the management representative of the automobile certification. If a major complaint is received, it should be reported to the complaint handling working group as soon as possible, and the working group will investigate, confirm, analyze and collect evidence on the appeal

- 1) Both the complainant and the respondent are required to provide sufficient factual evidence and written materials.
- 2) Arrange for representatives of the complainant and the respondent to fully state the reasons.
- 3) Investigate, confirm, analyze and collect evidence on the grounds and facts of the complaint.
- 4) Identify the root cause of the Appeal and propose appropriate corrective and systematic corrective actions in response to the Appeal.

5.2.4 After investigation, confirmation, analysis and evidence collection, the technical management post or working group shall prepare a written report and submit it to the representative of the automobile certification manager.

5.2.5 Representatives of the automotive certification management convene a meeting to review the results of the handling, and if necessary, refer to the results of previous similar appeals.



5.2.6 The representative of the automobile certification manager is responsible for organizing relevant personnel to analyze the root cause of non-conformity, take corrective and systematic corrective measures, form documents and verify their effectiveness in accordance with the relevant provisions of the ["Corrections and Corrective Actions Management Procedures"](#) (ZAZH-QP-16); If it is considered that the auditee or the certified customer should be reviewed, the review shall be carried out in accordance with the requirements in the certification procedure.

5.2.7 The problems in the complaint are not the responsibility of the company, but they are related to the company's certification and audit work, and appropriate improvement measures should be taken.

5.2.8 If the grounds for the complaint are established, the company shall bear the costs of investigation and handling of the complaint and the cost of review. If the grounds for appeal are not sustained, the complainant shall bear the costs.

5.2.9 The progress of the confirmation, investigation and handling of the complaint and the final result shall be sent to the complainant in writing by the technical management post. The final result shall not exceed 6 months from the formal acceptance of the appeal.

5.2.10 If the complainant disagrees with the outcome of the complaint, he or she may appeal to the company again, or to the national certification authority or the IATF.

6 Complaints

6.1 Scope of the complaint

In the following circumstances, any unit or individual has the right to complain to the company or related parties:

- 1) The certified party's management system does not meet the certification requirements.
- 2) Misuse of certification certificates and marks by the certified party.
- 3) Major problems in the quality/environment/health/safety of the licensee's products or services.
- 4) The relevant departments or staff of the company violate the relevant regulations of the certification work.
- 5) [Violation of relevant regulations during the examination and training process for auditors.](#)
- 6) Other matters related to the certification activities of various stakeholders.

6.2 Acceptance, confirmation and investigation of complaints

6.2.1 The procedures for the acceptance, confirmation and investigation of complaints shall be in accordance with 5.2 of this procedure 2-5.2.10.

6.2.2 When receiving a complaint, the technical management post shall confirm whether it is related to the certification activities, and deal with it when it is confirmed. If the complaint is related to the certification, the certified customer should be fully communicated, and the effectiveness of its quality management system should be considered, and a special audit should be arranged if necessary.

6.2.3 [If the complaint involves the examination and cultivation process of auditors, it will be confirmed by the technical department and then passed on to the personnel manager for investigation and handling. Depending on the situation, non-conformities will be issued and corrections will be conducted, and corrective measures will be taken.](#)



6.3 Handling of Complaints

6.3.1 The content of the complaint against the certified customer is real-time:

- 1) The investigator prepares the progress report and the results of the investigation, submits it to the certified party for signature confirmation, and takes corrective measures and submits it to the company for verification within a time limit.
- 2) Include non-compliance in the main content of supervision and inspection, verify the effect of the implementation of corrective measures on the spot, and increase the frequency of supervision and audit if necessary.
- 3) If the certified party does not take corrective measures to correct the complaint, it may suspend the certification qualification of the certified party according to the circumstances, and implement the relevant provisions in the control procedures for granting, maintaining, renewing, suspending, revoking certification or expanding or narrowing the scope of certification.
- 4) If the complaint affects the certification qualification of the certified party, the company shall make a decision related to the certification qualification according to the investigation results according to the corresponding procedures for granting certification.
- 5) When it is the responsibility of the company, the representative of the company's management is responsible for taking corrective and preventive measures in accordance with the regulations, forming documents and verifying their validity.
- 6) It is not the responsibility of the company, but it is related to the company's certification and audit work, and appropriate improvement measures should be taken.

6.3.2 The content of the auditor's complaint is real-time

6.3.2.1 Complaints involving red packet collection, fraudulent activities, or unethical behavior must be reported to the IAOb within 3 days. For further processing, please refer to the IATF Auditor Performance Appraisal System (ZAZH-WI-19).

6.3.2.2 If it involves the examination and cultivation process for auditors, it shall be handled in accordance with the relevant provisions of the company's "Auditor Manual".

6.3.3 If the content of the complaint is not true, the cost of investigation shall be borne by the Company, and if the content of the complaint is true, the cost shall be borne by the accused party. Regardless of whether the content of the complaint is true or not, the technical management post shall notify the complainant in writing of the result within 45 working days.

6.3.4 If the complainant or the respondent still has objections to the Company's handling, he or she may file a complaint with the Company or appeal to the National Certification Authority or the IATF.

6.3.5 The Company shall jointly decide with the Certified Customer and the Complainant whether to disclose the complaint, and shall jointly determine the extent of disclosure when deciding to make it public.

7 Disputes

7.1 Submission of Disputes

7.1.1 Disputes raised during the certification process are generally handled by the audit team leader and the auditee in accordance with the accreditation specifications. If no consensus can be reached after consultation, the



audit team leader may make the relevant conclusions of the audit team, but shall report the dispute to the company within 10 working days. The auditee may also raise the disputed matter with the company within 10 working days.

7.1.2 In the event of a dispute arising on other occasions, the relevant parties shall submit it to the Company in writing within 10 working days after the occurrence of the event involved in the dispute.

7.2 Acceptance of Disputes

After receiving the dispute application, the technical department will transfer it to the relevant departments to be responsible for replying and explaining the handling, in order to fully exchange views and resolve it through equal consultation, and strive to achieve unity and mutual satisfaction. If no agreement can be reached, the technical department shall submit it to the technical committee for processing, and if necessary, submit it to the company's management committee for processing, and notify the dispute proposer of the outcome of the dispute within 30 working days after receiving the dispute. If the dispute submitter is not satisfied with the handling result, he or she may submit a complaint or complaint to the technical department through the appeal or complaint procedure.

8 Recording

Each department/regional office shall record the relevant documents, information and disposition and reports of Appeals, complaints and disputes, including the measures taken to resolve the Appeals and complaints, the measures taken to make claims, etc., and submit these records to the technical department for archiving.

9 Constraint rules

9.1 The Company will receive, evaluate, investigate and deal with complaints, complaints and disputes in a fair, non-discriminatory and rigorous manner, and will be responsible for all decisions made in the process. The decision on the Appeal and complaint is made by a person unrelated to the complaint and complaint, or reviewed and approved by the person who reviews and approves the complaint and the complainant.

9.2 Appeals and complaints handling staff have a duty of confidentiality with respect to any non-public circumstances relating to Appeals and complaints.

9.3 All staff involved in Appeals and complaints and dispute resolution shall be objective and impartial.

9.4 The person involved in the investigation and handling of the Appeal and complaint shall not have any direct or indirect relationship with the Appeal and complaint organization, and shall not be the person who conducts the audit and makes the relevant certification decision.

9.5 The appeal process does not affect the timing of the non-compliance management or certification exit process.

10 Related documents

[Corrective and Preventive Action Management Procedures \(ZAZH-QP-16\)](#)

[IATF Auditor Performance Appraisal System \(ZAZH-WI-19\)](#)

[Auditor Manual \(ZAZH-WI-16\)](#)



11 Related Records

Appeals and Complaints Record (ZAZH-FM-56).

Appeals and Complaints Summary Form (ZAZH-FM-58)

Non-Conformities and Corrective Action Form (ZAZH-FM-67).