



# 申诉和投诉处理程序

## Appeal and Complaint Handling Procedures

**ZAZH-QP-11**

版次 Version: **B/2**

编制:	包艳梅
Prepared by:	<u>Bao Yanmei</u>
审核:	张国禹
Reviewed by:	<u>Zhang Guoyu</u>
批准:	张国禹
Approved by:	<u>Zhang Guoyu</u>

北京中安质环认证ZA-FCAV有限ZA-FCAV/ZA-FCAV

2024 年 12 月 20 日发布  
Issued on 2024-12-20

2025 年 12 月 30 日发布  
Issued on 2025-12-30

2026 年 1 月 1 日实施  
Implemented on 2026-01-01



## 目录/DIRECTORY

1 目的 .....	错误!未定义书签。
2 适用范围 .....	错误!未定义书签。
3 职责 .....	错误!未定义书签。
4 申诉和投诉的渠道和方式 .....	错误!未定义书签。
5 申诉 .....	错误!未定义书签。
5.1 申诉的范围 .....	错误!未定义书签。
5.2 申诉的处理程序 .....	错误!未定义书签。
6 投诉 .....	错误!未定义书签。
6.1 投诉的范围 .....	错误!未定义书签。
6.2 投诉的受理、确认和调查 .....	错误!未定义书签。
6.3 投诉的处理 .....	错误!未定义书签。
7 争议 .....	错误!未定义书签。
7.1 争议的提出 .....	错误!未定义书签。
7.2 争议的受理 .....	错误!未定义书签。
8 记录 .....	错误!未定义书签。
9 约束规则 .....	错误!未定义书签。
10 相关文件 .....	错误!未定义书签。
11 相关记录 .....	错误!未定义书签。
1 Objective.....	错误!未定义书签。
2 Scope of application .....	错误!未定义书签。
3 Duty .....	错误!未定义书签。
4 Channels and methods of Appeals and Complaints.....	错误!未定义书签。
5 Complaint .....	错误!未定义书签。
5.1 Scope of complaint .....	错误!未定义书签。
5.2 Procedures for Handling Complaints.....	错误!未定义书签。
6 Complaints.....	错误!未定义书签。
6.1 Scope of the complaint .....	错误!未定义书签。
6.2 Acceptance, confirmation and investigation of complaints .....	错误!未定义书签。
6.3 Handling of Complaints.....	错误!未定义书签。
7 Disbutes .....	错误!未定义书签。
7.1 Submission of Disputes .....	错误!未定义书签。
7.2 Acceptance of Disputes.....	错误!未定义书签。
8 Recording.....	错误!未定义书签。
9 Constraint rules.....	错误!未定义书签。
10 Related documents.....	错误!未定义书签。
11 Related Records .....	错误!未定义书签。

修改记录  
Revision Records

序号 Serial No.	修改次数 Revision Times	修改日期 Date	修改条款 Clauses Revised	修改内容简述 Description	修改人 Revised by
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 Add the description of "various stakeholders"; revise and refine the clauses such as 4.2/4.3; add 6.3.2	包艳梅 Bao yanmei
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 Change to "refer to The IATF Auditor Performance Evaluation System" (ZAZH-WI-19); 10. Modify the names of relevant documents	李玲玲 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, 全文翻译 Full text translation	增加有关审核员考试和培养过程 出现的申诉管理内容； 转换成中英文版 Add the content related to complaint management during the auditor examination and training process; Convert to Chinese-English version	李玲玲 Li Lingling
4	4	2025. 12. 30	2/3//4/5. 1/6	增加加发 ISO 9001 也按本文件执 行的要求； 职责中的岗位名称替换为部门名 称； 申诉的范围增加 1) ； 完善申诉渠道； 修改申诉和投诉处理时效 Add the additional issuance of ISO 9001 in accordance with the requirements stipulated in this document; Replace the job title in the responsibilities with the department name; Increase the scope of appeals to 1); Improve the complaint channels; Modify the time limits for handling appeals and complaints	包艳梅 Bao yanmei





申诉和投诉处理程序	Appeal and Complaint Handling Procedures
<p><b>1 目的</b></p> <p>为保证：</p> <ol style="list-style-type: none"><li>1) 所有申诉/争议均得到公正处理；</li><li>2) 所有有效的投诉都得到公平和迅速的处理；</li><li>3) 所有申诉/争议和投诉都尽可能友好解决；</li><li>4) 所有申诉/争议和投诉均以非歧视方式处理；</li><li>5) 所有 IATF 16949 认证过程的完整性得到维护并不断改进；</li><li>6) IATF 16949 认证的公正性、保密性得到维护。</li></ol>	<p><b>1 Objective</b></p> <p>To ensure:</p> <ol style="list-style-type: none"><li>1) All Appeals/disputes are dealt with fairly.</li><li>2) All valid complaints are dealt with fairly and expeditiously.</li><li>3) All Appeals/disputes and complaints are resolved amicably as far as possible.</li><li>4) All Appeals/disputes and complaints are handled in a non-discriminatory manner.</li><li>5) The integrity of all IATF 16949 certification processes is maintained and continuously improved.</li><li>6) The impartiality and confidentiality of IATF 16949 certification are maintained.</li></ol>
<p><b>2 适用范围</b></p> <p>本程序适用于与北京中安质环认证中心有限 ZA-FCAV（以下简称“ZA-FCAV”）IATF 16949 和 IATF16949 加发 ISO 9001 认证活动有关的申诉和投诉及争议的处理。</p>	<p><b>2 Scope of application</b></p> <p>This procedure applies to the handling of appeals, complaints and disputes related to the IATF 16949 and IATF 16949 adding ISO 9001 certification activities of Beijing Zhong An Zhi Huan Certification Center Co., Ltd. (hereinafter referred to as the "ZA-FCAV").</p>
<p><b>3 职责</b></p> <p>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。</p> <p>3.2 市场部将 ZA-FCAV 公开文件提供给申请方和获证客户，使其清楚了解 ZA-FCAV 关于申诉和投诉和争议的处理方法与处理过程。</p> <p>3.3 审核部负责组织处理 ZA-FCAV 员工（含管理人员和审核员的申投诉），</p>	<p><b>3 Duty</b></p> <p>3.1 The General Manager of Automotive Certification shall arrange for the handling of Appeals and complaints with sufficient resources available.</p> <p>3.2 Marketing Department shall provide ZA-FCAV's public documents to the applicant and the certified clients, so that they can clearly understand the company's handling methods and procedures for Appeals and complaints and disputes.</p> <p>3.3 Audit Department is responsible for organizing and handling the complaints from</p>



将处理材料汇总到技术部。

3.4 **技术部**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。

3.5 一般申诉和投诉由**技术部**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。

3.6 各区域办公室负责在3个工作日内将收到的申诉或投诉报送ZA-FCAV技术部。

#### 4 申诉和投诉的渠道和方式

4.1 公众可在 ZA-FCAV 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。

4.1.1 登录 ZA-FCAV 官网 <http://www.zazh.net/>，点击首页菜单栏【申投诉建议】，输入您需要进行申投诉的相关信息或发送邮件，见图 1。

4.1.2 申投诉有关的公开文件，在官网【首页】下拉至第三个页面，找到【公开文件】，选择 QP-11 文件，见图 2。

图 1：ZA-FCAV 官网申投诉位置

company employees (including management personnel and auditors), and consolidating the handling materials into the technical department.

3.4 **Technical Department** 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 **Technical Department** 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.

3.6 Each regional office is responsible for submitting the received complaints or appeals received to the Technical Department of ZA-FCAV within 3 working days.

#### 4 Channels and methods of Appeals and Complaints

4.1 Members of the public may access the Appeal and complaint channels on the **ZA-FCAV's official** 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.

4.1.1 Log in to the ZA-FCAV website at <http://www.zazh.net/>, click on the menu item [Submit Complaints and Suggestions] on the homepage, enter the relevant information for your complaint or send an email, as shown in Figure 1.

4.1.2 For the public documents related to the complaint, on the homepage of the website, scroll down to the third page, find [Public Documents], and select the QP-11 file, as shown in Figure 2.

Figure 1 Complaint submission in the official website of ZA-FCAV

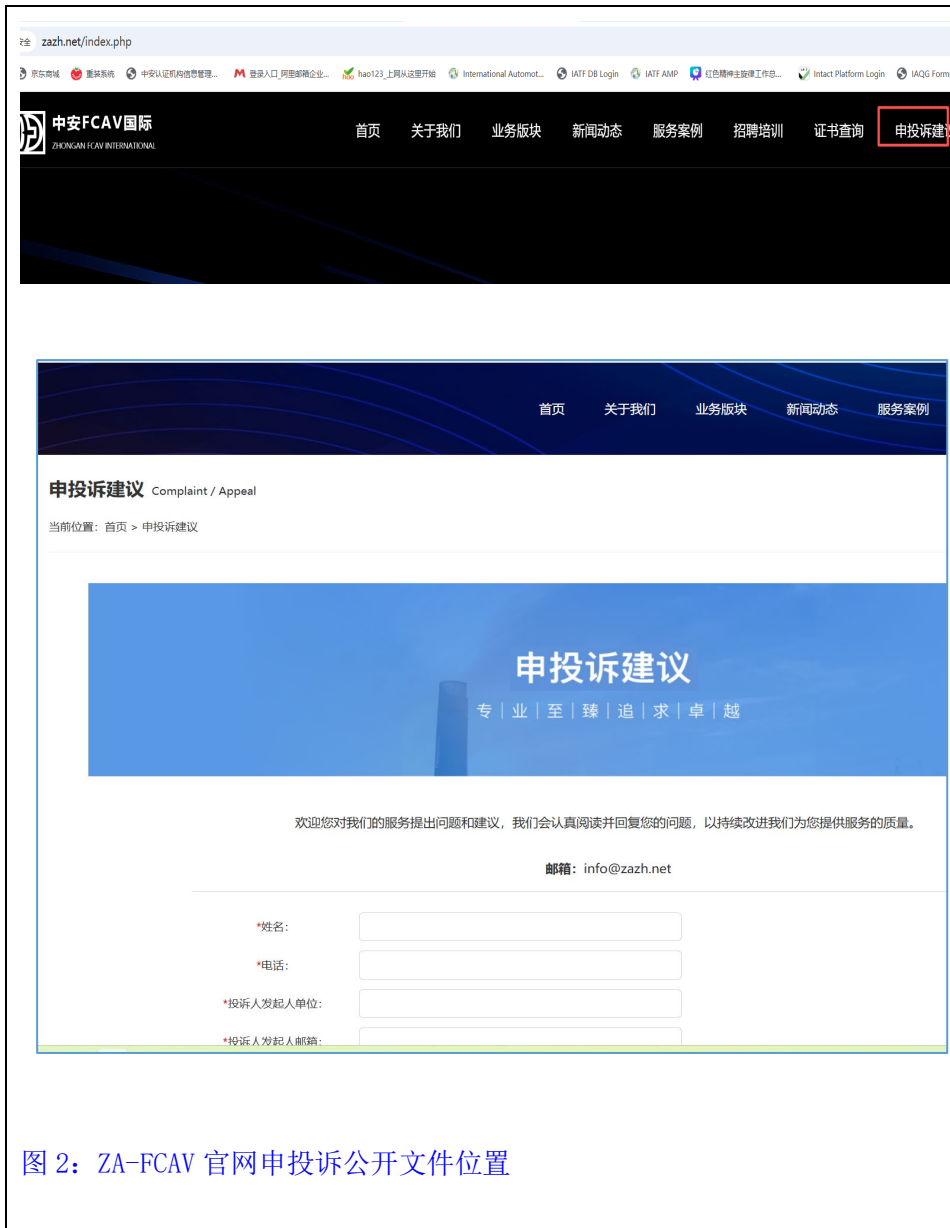


图 2：ZA-FCAV 官网申投诉公开文件位置

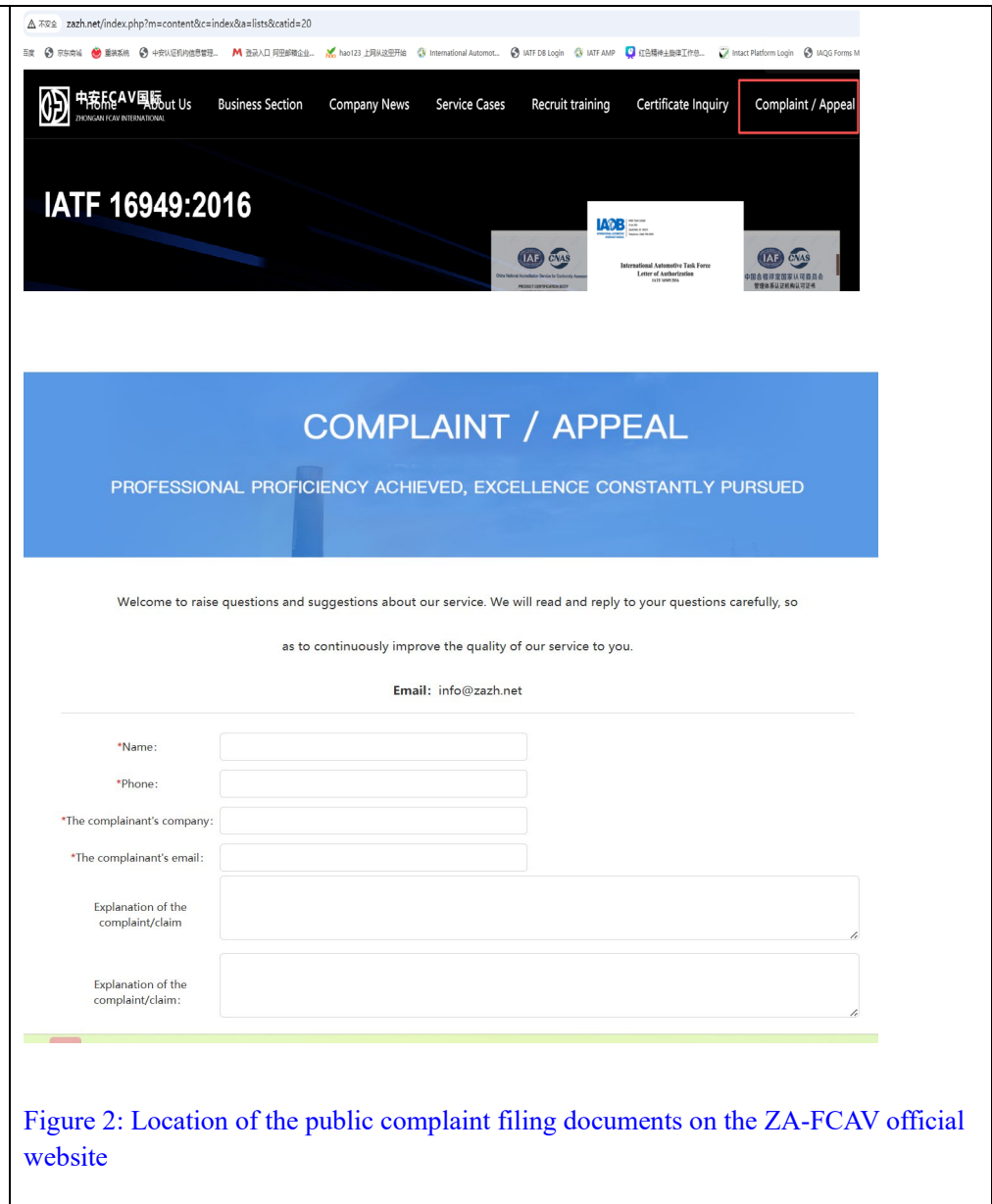
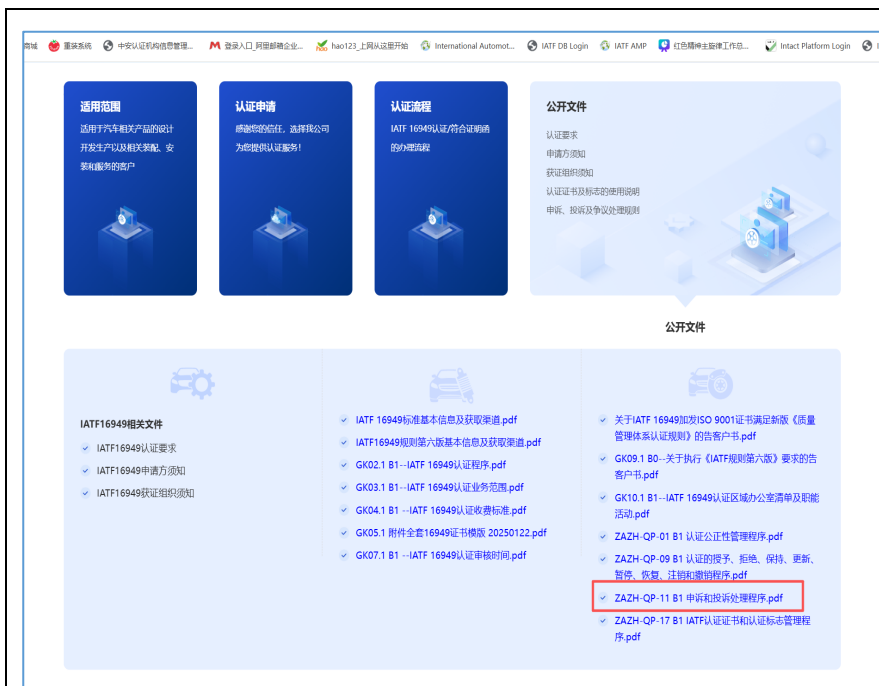
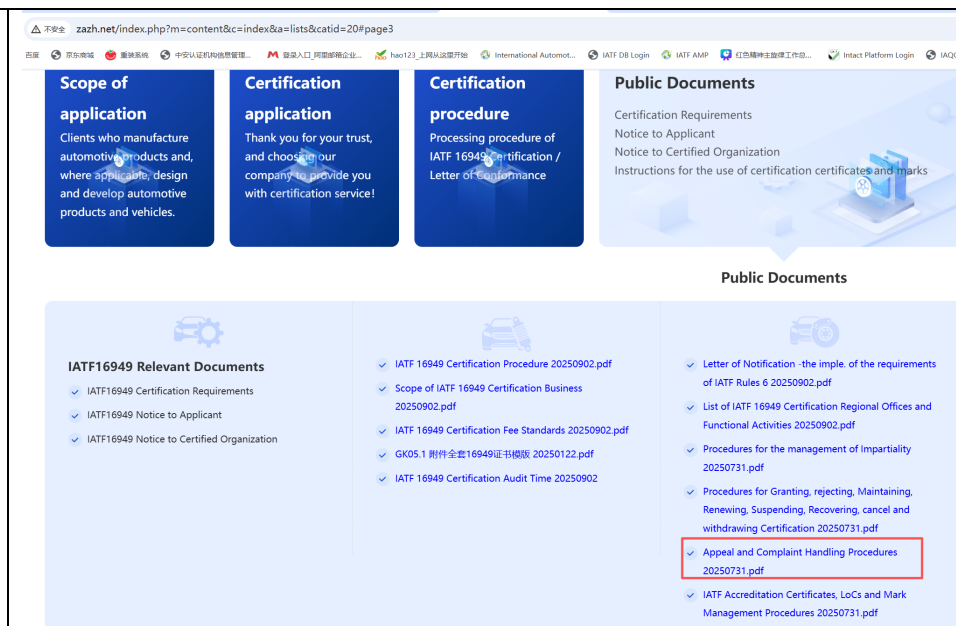


Figure 2: Location of the public complaint filing documents on the ZA-FCAV official website



- 4.2 客户满意度调查是 ZA-FCAV 主动获取申诉和投诉的渠道之一。客户可通过 ZA-FCAV ERP 系统的《客户满意度调查表》提出申诉、投诉事项或有争议的问题。
- 4.3 客户及其他相关方也可以向 ZA-FCAV 区域办公室、审核员等提出申诉或投诉。
- 4.4 客户或其他利益相关方也可以向上级主管、认证监管部门、IAOB，甚至法律部门提出申诉。
- 4.5 书面申诉和投诉应采取邮件、ZA-FCAV 官网提交等书面形式，写清楚申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。



- 4.2 Customer satisfaction surveys are one of the channels through which ZA-FCAV actively collects complaints and grievances. Customers can submit complaints, grievances, or disputed issues by filling out the "Customer Satisfaction Survey Form" in the ZA-FCAV ERP system.
- 4.3 Customers and other relevant parties can also raise complaints or grievances to the ZA-FCAV regional office, auditors, etc.
- 4.4 Customers or other stakeholders can also submit complaints or grievances to their superiors, certification regulatory authorities, IAOB, or even the legal department.
- 4.5 Written complaints and grievances should be submitted in written form such as via email or through the ZA-FCAV website. Clearly state the specific reasons for the complaint and attach evidence, as well as the name and contact information of the complainant. For oral reports or in-person feedback, provide specific details of the complaint incident, supporting materials, and the name of the complainant.
- 4.6 The technical department of ZA-FCAV carries out the tasks of receiving, registering, accepting, and investigating based on the above responsibilities.
- 4.7 ZA-FCAV does not accept anonymous complaints.





4.6 ZA-FCAV 技术部按上述职责开展接收、登记、受理、调查等工作。

4.7 ZA-FCAV 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) 对认证申请人或获证组织申请的受理和评审结果不满；
- 2) 对 ZA-FCAV 所作出的审核结论不满；
- 3) 对 ZA-FCAV 不予认证注册的决定不满；
- 4) 对 ZA-FCAV 暂停、撤销其认证资格的决定不满；
- 5) ZA-FCAV 员工，包括管理人员和审核员对 ZA-FCAV 的相关决策不满；
- 6) 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 申诉的处理时间

5.2.1.1 受审核方在审核末次会议日期后 7 个日历日内，针对现场审核开出的不符合项或其他问题提出申诉。ZA-FCAV 在审核末次会议日期后 15 个日历日内将处理结果书面告知申诉人。

5.2.1.2 除 5.2.1.1 之外的申诉事项，受审核方或获证客户在接到 ZA-FCAV 不通过、暂停、撤销认证等决定或相关措施的通知，以及因其他问题提出申诉，ZA-FCAV 应在 60 个日历日内完成调查分析，并将处理结果书面告知申诉人。

5.2.2 申诉应按 4.1~4.3 中的渠道和方式提出。

## 5 Appeals

### 5.1 Scope of appeals

The scope of the appeals includes:

- 1) Discontent with the acceptance and evaluation results of the application submitted by the certification applicant or the certified organization;
- 2) Dissatisfied with the audit conclusions made by the company.
- 3) Dissatisfied with the company's refusal to certify and register.
- 4) Dissatisfied with the company's suspension/revocation of its accreditation.
- 5) The company's employees, including managers and auditors, are dissatisfied with the company's relevant decisions.
- 6) Other matters related to the certification activities of various stakeholders.

### 5.2 Procedures for Handling Appeals

#### 5.2.1 The Time Requirement for Handling Complaints

5.2.1.1 Within 7 calendar days after the end of the audit meeting, the auditee shall raise an appeal regarding the non-conformities or other issues identified during the on-site audit. ZA-FCAV shall inform the appellant in writing of the handling result within 15 calendar days after the end of the audit meeting.

5.2.1.2 For all other appeal matters except those mentioned in 5.2.1.1, if the auditee or the certified client receives a notification from ZA-FCAV regarding the non-approval, suspension, revocation of certification, or related measures, or if an appeal is raised due to other issues, ZA-FCAV shall complete the investigation and analysis within 60 calendar days and inform the appellant of the handling result in writing.

5.2.2 Appeals shall be lodged through the channels and methods of 4.1 ~ 4.3.

5.2.3 After receiving the appeal information, the technical department fills in the "Appeal and Complaint Record", and the general complaint is investigated and handled by technical department or relevant departments; Major appeals 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 appeal and complaint handling working group as soon as



5.2.3 收到申诉信息后,技术部填写《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。若收到重大申投诉,应尽快上报申投诉处理工作组,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集会议,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 ZA-FCAV 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 ZA-FCAV 的责任,但与 ZA-FCAV 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 ZA-FCAV 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,由技术部以书面形式送交申诉方。

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 appeal 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 appeal and the final result shall be sent to the appeal in writing by the technical management post.

5.2.10 If the appealing party disagrees with the outcome, he or she may appeal to ZA-FCAV again, or to the national certification authority or the IATF.



5.2.10 申诉方对申诉处理结果有异议时，可再次向 ZA-FCAV 申诉，也可向国家认证监管机构或 IATF 上诉。

5.2.11 区域办公室、审核员在收到申诉时，申诉的细节，包括信函、电子邮件和其他相关信息必须尽快转交 ZA-FCAV 总部。在长时间的申诉过程中，区域办公室应定期向申诉人通报进展情况。当申诉到达总部时，由技术部按本文件要求组织调查处理。

## 6 投诉

### 6.1 投诉的范围

出现下列情况，任何组织或个人均有权向 ZA-FCAV 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) 认证审核等有关活动违反合法性、公正性、非歧视性原则；
- 5) ZA-FCAV 有关部门或工作人员违反认证工作有关规定，或出现有损认证申请方、受审核方或获证组织合法权益的行为；
- 6) 审核员考试和培养过程中违反相关规定；
- 7) 对认证过程和认证决定有异议；
- 8) 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 投诉的处理时间

6.2.1.1 ZA-FCAV 通过 IATF 投诉管理系统（CMS）收到 IATF OEM 成员、IAOB

5.2.11 When the regional office or auditor receives an appeal, the details of the appeal, including letters, emails and other relevant information, must be promptly transferred to the headquarters of ZA-FCAV. During the long process of the appeal, the regional office should regularly inform the appellant of the progress. When the appeal reaches the headquarters, the technical department will organize the investigation and handling in accordance with the requirements of this document.

## 6 Complaints

### 6.1 Scope of complaints

In the following circumstances, any organization 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 client's products or services.
- 4) The activities such as certification audits violate the principles of legality, impartiality and non-discrimination.
- 5) The relevant departments or staff of the company violate the relevant regulations of the certification work, or any actions that may harm the legitimate rights and interests of the certification applicant, the auditee, or the certified organization;
- 6) Violation of relevant regulations during the examination and training process for auditors.
- 7) Disagree with the certification process or the certification decision;
- 8) Other matters related to the certification activities of various stakeholders.

### 6.2 Acceptance, confirmation and investigation of complaints

#### 6.2.1 The Time Requirement for Handling Complaints

6.2.1.1 When ZA-FCAV receives any automotive customer's performance complaint from an IATF OEM member, IAOB, or the customer through the IATF OEM Complaint Management System (CMS), it shall complete the investigation and



或客户的任何汽车顾客对客户的绩效投诉时，应在 15 个日历日内完成调查分析，做出是否暂停认证的决定，书面告知客户，要求客户在收到暂停通知后最多 20 个日历日内在 IATF CMS 中提交解决问题的响应。

6.2.1.2 除 6.2.1.1 之外的投诉事项，ZA-FCAV 应最长在 60 个日历日内完成调查分析，并将处理结果书面告知申诉人。

6.2.2 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。

6.2.3 接到投诉时，由技术部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。

6.2.4 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 ZA-FCAV 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 ZA-FCAV 按授予认证相应

analysis within 15 calendar days, make a decision on whether to suspend the certification, and provide a written notification to the customer. The customer is required to submit a response to solve the problem in the IATF CMS within a maximum of 20 calendar days after receiving the suspension notice.

6.2.1.2 For complaints other than those mentioned in 6.2.1.1, ZA-FCAV shall complete the investigation and analysis within a maximum of 60 calendar days and provide a written notification of the handling result to the complainant.

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

6.2.3 When receiving a complaint, the technical department 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.

6.2.4 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



的程序根据调查结果做出与认证资格相关的决定；

- 5) 属于 ZA-FCAV 责任时，ZA-FCAV 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 ZA-FCAV 责任，但与 ZA-FCAV 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 ZA-FCAV《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 ZA-FCAV 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 60 个日历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 ZA-FCAV 的处理仍有异议，可向 ZA-FCAV 提起申诉，也可向国家认证监管机构或 IATF 上诉。
- 6.3.5 ZA-FCAV 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，

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 60 calendar 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 Disbutes

### 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





但应将争议的情况在 10 个工作日内报告 ZA-FCAV。受审核方也可以在 10 个工作日内将争议的事项向 ZA-FCAV 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 ZA-FCAV 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 ZA-FCAV 管理委员会处理。并在收到争议后的 60 个日历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 ZA-FCAV 将以公正、非歧视且严谨的方式受理、评价、调查和处理申诉、投诉和争议，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事项无关的人员做出，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。

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 60 calendar 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.



<p>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。</p> <p>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。</p> <p>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。</p> <p><b>10 相关文件</b></p> <p>《纠正和预防措施管理程序》（ZAZH-QP-16）</p> <p>《IATF 审核员绩效考核制度》（ZAZH-WI-19）</p> <p>《审核员手册》（ZAZH-WI-16）</p> <p><b>11 相关记录</b></p> <p>《申诉和投诉记录》（ZAZH-FM-56）</p> <p>《申诉和投诉汇总表》（ZAZH-FM-58）</p> <p>《不符合项及纠正措施表》（ZAZH-FM-67）</p>	<p>9.3 All staff involved in Appeals and complaints and dispute resolution shall be objective and impartial.</p> <p>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.</p> <p>9.5 The appeal process does not affect the timing of the non-compliance management or certification exit process.</p> <p><b>10 Related documents</b></p> <p>Corrective and Preventive Action Management Procedures (ZAZH-QP-16)</p> <p>IATF Auditor Performance Appraisal System (ZAZH-WI-19)</p> <p>Auditor Manual (ZAZH-WI-16)</p> <p><b>11 Related Records</b></p> <p>Appeals and Complaints Record (ZAZH-FM-56).</p> <p>Appeals and Complaints Summary Form (ZAZH-FM-58)</p> <p>Non-Conformities and Corrective Action Form (ZAZH-FM-67).</p>
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------