

## 1. General 概述

The "Appeals and Complaints" process applies to all **qualityaustria** services, such as system and product certifications, certification of persons, verifications, validations, SURE, CoC audits and assessments. "申诉和投诉" 流程适用于所有 **qualityaustria** 服务, 如体系和产品认证、人员认证、验证、确认、SURE、CoC 审核和评估。

### Appeal 申诉

Appeals can only be filed by respective clients about the services provided by Quality Austria, including certification decisions. 申诉只能由各自的客户提出, 有关 Quality Austria 提供的服务, 包括认证决定。

### Complaint 投诉

Complaints can also be submitted by third parties. For example, complaints can refer to the performance of management systems or persons. Furthermore, complaints can also refer to very general areas of Quality Austria. 投诉也可以由第三方提出。例如, 投诉可以指管理体系或人员的表现。此外, 投诉也可以涉及 Quality Austria 的普遍领域。

### Confidentiality 保密性

Complaints and appeals are subject to the strictest confidentiality by Quality Austria and shall in no way have any discriminatory effect on the complainant or appellant. Complainants shall remain anonymous to the client if this is requested by the complainant. 投诉和申诉均由 Quality Austria 严格保密, 不得以任何方式对投诉人或申诉人产生任何歧视性影响。如投诉人要求, 投诉人对客户应保持匿名。

The Chief Executive Officers (CEOs) and the QM evaluate, together with the complainant and the client, if necessary, with the involvement of the responsible Executive Vice President, the extent to which individual content from the complaint and its solution are made publicly accessible. 首席执行官 (CEO) 和 QM 与投诉人和客户(如有必要, 在负责的执行副总裁的参与下) 一起评估投诉及其解决方案中的个人内容公开的程度。

### Specifics for qualityaustria partners *qualityaustria* 合作伙伴的详细信息:

**qualityaustria** partners have to set up a possibility for submitting complaints on their local website and publish the **qualityaustria** complaints process.

*qualityaustria* 的合作伙伴必须在其当地网站上建立提交投诉的可能性, 并公布 **qualityaustria** 的投诉流程。

In the case of complaints and appeals against Quality Austria Certification GmbH, the partner must forward them immediately (within 1 day) to [reklamationen@qualityaustria.com](mailto:reklamationen@qualityaustria.com).

如果对 Quality Austria Certification GmbH 提出投诉和申诉, 合作伙伴必须立即 (在 1 天内) 将其转发给 [reklamationen@qualityaustria.com](mailto:reklamationen@qualityaustria.com)。

## 2. Handling an Appeal or Complaint 处理申诉或投诉

### 2.1 Responsibilities 责任

The handling of complaints and appeals lies within the responsibility of the QM. Where necessary, the responsible Executive Vice President may also handle appeals and complaints in close cooperation with the QM, provided that s/he was not involved in the certification process and is therefore impartial. 投诉和申诉的处理由 QM 负责。必要时，负责的执行副总裁也可以与 QM 密切合作处理申诉和投诉，前提是他/她没有参与认证过程，因此是公正的。

Any additional requirements of special standards or models (for example, IATF 16949) must be taken into account and the respective internal managers must be involved.

必须考虑特殊标准或模型（例如 IATF16949）的任何附加要求，并且必须涉及相应的内部管理人员。

Automotive: The handling of complaints by an IATF OEM member, by its responsible IATF Oversight Office or by a client from the automotive industry is carried out by the Sector Management Automotive.

汽车: IATF OEM 成员、其负责的 IATF 监督办公室或汽车行业客户的投诉处理由汽车行业管理部门执行。

The QM decides who generally carries out the communication with the complainant. If necessary, communication may be carried out by the CEOs or by an Executive Vice President.

QM 决定谁通常与投诉人进行沟通。如有必要，可由首席执行官或执行副总裁进行沟通。

The ultimate responsibility for the complaint process lies with the CEOs of Quality Austria. It is informed about the status of the process and involved in the decision-making process.

投诉过程的最终责任在于 Quality Austria 的首席执行官。他们了解投诉过程的状态并参与决策过程。

### Impartiality 公正性

When handling complaints and appeals, it is ensured that the persons commissioned for this purpose are impartial. This refers to the audit process as well as the certification decision-making process. If the QM was involved in the processes, the responsible Executive Vice President takes over the tasks of handling appeals and complaints. 处理投诉和申诉时，应确保为此目的委托的人员是公正的。这是指审核过程以及认证决策过程。如果 QM 参与了过程，负责的执行副总裁将接管处理申诉和投诉的任务。

In the field of Automotive, this involves assessing the situation and identifying possible weaknesses in the audit process and/or the auditors. 在汽车领域，这涉及到评估情况并确定审核过程和/或审核员中可能存在的弱点。

The submission, investigation and decision on complaints shall not lead to a disadvantage for the complainant. 投诉的提交、调查和决定不得对投诉人造成不利影响。

### 2.2 Confirmation of Receipt of the Complaint / Appeal 收到申诉/ 投诉的确认

The receipt of complaints / appeals will be confirmed to the complainant / appellant immediately (within two days). If necessary, the language to be used for subsequent communication must be clarified with the complainant / appellant. 立即（在两天内）向投诉人/ 申诉人确认收到投诉/ 申诉。如有必要，必须与投诉人/ 申诉人澄清后续沟通所使用的语言。

In the case of complaints / appeals received via **qualityaustria** partners, the partner will confirm receipt. 如果通过 **qualityaustria** 合作伙伴收到投诉/ 申诉，将由合作伙伴确认收到。

### **2.3 Preliminary Clarification on Justification** 对正当理由的初步澄清

Quality Austria checks to what extent the appeal / complaint refers to its own certification activities.  
*Quality Austria 检查申诉/投诉在多大程度上涉及其自身的认证活动。*

If the appeal / complaint dealt with is judged to be unjustified, the appellant / complainant will be informed in writing stating the reasons for the decision. Top management must be informed of this procedure in writing. *如果所处理的投诉/申诉被判定为不合理, 将以书面形式通知投诉人/申诉人, 说明作出有关决定的理由。必须以书面形式将此程序告知最高管理层。*

### **2.4 Handling of Justified Complaints / Appeals** 正当申诉/投诉的处理

#### **2.4.1 Investigation** 调查

An investigation is carried out, whereby all necessary information is collected and verified to assess the complaint. *进行调查, 收集和核实所有必要信息, 以评估投诉。*

If the complaint concerns a certified client, the investigation of the complaint must take into account the effectiveness of the certified management system. *如果投诉涉及认证客户, 则对投诉的调查必须考虑认证管理体系的有效性。*

Quality Austria will forward complaints about certified clients to the certified client within 14 days.  
*Quality Austria 将在 14 天内将有关认证客户的投诉转交给认证客户。*

If Quality Austria considers it appropriate to carry out short-term inspections at the client's premises (in the event of a complaint), a corresponding audit must be carried out within 90 days and the results must be documented accordingly. The QM must commission a suitably qualified and independent auditor. (In the field of Automotive, this is a Special Audit).

*如果 Quality Austria 认为在客户场所进行短期检查是合适的(在发生投诉的情况下), 则必须在 90 天内进行相应的审核, 并相应地将结果记录在案。QM 必须委托一名合适的有资格且独立的审核员。(在汽车领域, 这是一次特殊审核)。*

If required, the impartiality committee of Quality Austria may be consulted.

*如有需要, 可咨询 Quality Austria 的公正委员会。*

Auditors, examiners, verifiers, validators or trainers affected by the complaint/appeal will be informed. *将通知受投诉/申诉影响的审核员、审查员、核查员、验证员或培训师。*

If necessary, a detailed root cause analysis is carried out and, if needed, internal corrective and preventive actions are defined and implemented in accordance with the internal CIP process of Quality Austria. *如有必要, 进行详细的根本原因分析, 如有需要, 根据 Quality Austria 的内部 CIP 流程定义并实施内部纠正和预防措施。*

#### **2.4.2 Decision/Definition of Actions** 行动的决定/定义

The decision as to which actions must be taken is made by the CEOs of Quality Austria and is formally communicated to the complainant. *必须采取哪些行动的决定由 Quality Austria 的首席执行官做出, 并正式传达给投诉人。*

### **2.5 Documentation**

The Quality Manager (QM) keeps the necessary documentation on the appeals / complaints

handled, which is kept in the customer file and is additionally stored in a separate folder "Appeals / Complaints" at Quality Austria. This is also used to check whether there have been similar cases in the past, and it ensures that these cases are taken into account. Note for Automotive: The Sector Management Automotive keeps a separate list (KPI matrix) containing Feedback from clients, stakeholders and IATF OEMs.

质量经理 (QM) 保存有关处理的申诉/投诉的必要文件, 这些文件保存在客户档案中, 并额外存储在 Quality Austria 的一个单独文件夹“申诉/投诉”中。这也用于检查过去是否存在类似案件, 并确保这些情况被考虑在内。汽车行业注意事项: Sector Management Automotive 保留了一个单独的列表 (KPI 矩阵), 其中包含来自客户、利益相关者和 IATF OEM 的反馈。

## 2.6 Special Product- and Sector-specific Time Requirements 特殊产品和特定行业的时间要求

When processing appeals / complaints, it must be ensured that the product- and sector-specific time requirements are met, e.g.: 在处理申诉/投诉时, 必须确保满足特定产品和行业的时间要求, 例如:

- **IATF** Rules: Nonconformity management, section 5.11 and Decertification process, section 8).  
*IATF 规则: 不符合项管理, 第 5.11 节和认证取消过程, 第 8 节)*
- **IFS**: For **complaints** received by the **IFS** offices, a statement on the cause and the measures identified to rectify the problem, will be provided  
*IFS: 对于 IFS 办公室收到的投诉, 将提供一份关于原因和纠正问题的措施的声明*
  - o For administrative errors within 1 week 对于行政错误, 1 周内处理
  - o For qualitative errors within 2 weeks 对于定性错误, 2 周内处理
- **IFS**: For complaints received from the companies or other relevant parties, an initial response shall be given within 10 working days  
*IFS: 对于来自公司或其他相关方的投诉, 应在 10 个工作日内给予初步答复*
- **IFS**: Appeals shall be finalized within 20 working days  
*IFS: 申诉应在 20 个工作日内完成*
- **EN 9104-001:2013, 6.7 j**:
  - o All requests for corrective action are responded to within 30 calendar days from receipt of complaint; 所有要求采取纠正措施的要求在收到投诉后 30 个日历日内予以答复
  - o If the certification body determines that a short notice audit is necessary, this audit shall be completed within 90 calendar days from receipt of the complaint; and 如果认证机构确定有必要进行短期审核, 则应在收到投诉后 90 个日历日内完成审核; 和
  - o Complaints that cannot be resolved by the certification body shall be referred to the accreditation body. 认证机构无法解决的投诉, 应当提交认可机构处理。