



**REGISTRUL AUTO ROMÂN
ORGANISMUL DE CERTIFICARE PRODUSE**

391A Calea Griviței, distr. 1,
zip code 010719, Bucharest
Tel/fax: (4021) 350.82.88

RAR

COMPLAINTS AND APPEALS SETTLEMENT

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OCP

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EDITIONS / REVISIONS INDICATOR

Edition	Revision	Edition / Revision date	Page Number	Edition / Revision content (chapter, subchapter, paragraph)
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EDITIONS / REVISIONS APPROVAL

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CHECKED BY	Head of Compartment	Dipl. eng. Viorel CROITORU		06.12.2013
DRAWN UP BY	RAR-OCP QM Responsible	Dipl. eng. Valentin CERNEA		06.12.2013

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1 GOAL

This procedure establishes how to settle:

- a) the complaints received by RAR-OCP;
- b) the appeals related to the unfavorable decisions adopted by RAR-OCP about certification.

2 SCOPE

2.1 The provisions of this procedure will be applied by RAR-OCP personnel for settling:

- a) the complaints received by RAR-OCP related to:
 - o specific certification activities carried on by RAR-OCP personnel;
 - o activities carried on by the licencees who put on the market products certified by RAR-OCP;
- b) appeals to the unfavorable decisions adopted by RAR-OCP about certification.

2.2 Examples related to unfavorable decisions (see subchapter 2.1, paragraph b), may be:

- decisions of not granting or partial granting of certification;
- decisions of not granting or partial granting of extension of the certification field;
- decisions on decreasing (diminishing) the certification area;
- decisions of supplementary evaluation of certification;
- decisions of suspension / withdrawal of certification;
- solutions to complaints;
- decision to cease the certification process;
- refusal to accept a certification application for a product;
- refusal to perform / continue a certification process activity;
- any other action which do not allow obtaining the certification;
- absence of certification decision or delaying the certification decision.

2.3 This procedure refers to:

- receiving and recording the complaints and appeals;
- complaints and appeals validation;
- evaluation / investigation and making decisions related to complaints and appeals;
- establishing actions necessary as a response to complaints and appeals;
- tracking of complaints and of appeals and actions to solve them.

3 REFERENCE DOCUMENTS AND RELATED DOCUMENTS

3.1 Reference documents

- 3.1.1 SR EN ISO/CEI 17000:2005 Conformity assessment. Vocabulary and general principles.
- 3.1.2 PG-07 Suspension or withdrawal of certification.
- 3.1.3 PG-18 Settlement of nonconformities.
- 3.1.4 R4 Correspondence registry.
- 3.1.5 R12 Complaints registry.
- 3.1.6 R13 Appeals registry.
- 3.1.7 FG-01-18 Correspondence form.
- 3.1.8 (OG 27) Ordonanța nr. 27 / 30.01.02 – on regulating the settlement of petitions

3.2 Related documents

- 3.2.1 SR EN ISO/CEI 17065:2013 Conformity assessment. Requirements for bodies certifying products, processes and services.
- 3.2.2 SR ISO/PAS 17003:2007 Conformity assessment. Complaints and appeals. Principals and requirements.

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3.2.3 PG-05

Settlement the misuse of the licence, certificate of conformity, certification marking of RAR-OCP and conformity mark of RAR-OCP

4 DEFINITIONS AND ABBREVIATIONS

4.1 Definitions

4.1.1 Complaint: expression of dissatisfaction, other than appeal, by any person or organization, towards a conformity assessment body or accreditation body, relating to the activities of that body, which expects a response (SR EN ISO/CEI 17000:2005).

Note: the complaint can be made in writing or by electronic mail.

4.1.2 Complainant / Apellant: person or organization who submits a complaint / an appeal.

4.1.3 Commission of complaint / appeal analyse: group of persons appointed to handle a valid, registered complaint / appeal.

4.1.4 Appeal: application of the conformity assessment object provider, forwarded to conformity assessment body or to accreditation body, in order to reconsider a decision which it has taken in connection with that object (SR EN ISO/CEI 17000:2005). It is also considered appeal, the one forwarded for reconsideration of a solution given by the conformity assessment body to a complaint.

4.2 Abbreviations

4.2.1 RAR	Registrul Auto Român (Romanian Automotive Register).
4.2.2 RAR-OCP	Product Certification Body of RAR.
4.2.3 CAR	Commission of complaint analyse.
4.2.4 CAA	Commission of appeal analyse.
4.2.5 PD	Designated person.
4.2.6 RMC	QM (Quality Management) Responsible.

5 PROCEDURE RULES

5.1 Complaints settlement

5.1.1 The complainant sends officially to RAR-OCP the complaint, which must include, at least, the complete identification of the complainant, namely his name and address and the object of the complaint. The complaint may be sent by the complainant by post / fax / e-mail or handed over personally to RAR Secretariat / Executive Director of RAR-OCP / RAR-OCP Technical Secretariat / Designated Person from RAR-OCP which processed the certification file in question.

Notes:

(1) The anonymous complaints or the ones which have no identification data of the complainant are not taken into account and classified.

(2) If the complainant sends more than one complaint for the same issue, these will be connected and the complainant will receive one answer referring to all received complaints.

5.1.2 After being received, the complaint is directed to PD, for recording and assigning a number and date of entry in the Correspondence Registry, code R4, and for send it, together with the certification file on which was carried out the complaint, to the Executive Director of RAR-OCP.

5.1.3 Executive Director of RAR-OCP examines the complaint, establishes its validity and decides how to handle the complaint, which may consist in:

- rejecting the complaint, for specified reasons;
- admission of the complaint.



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5.1.4 Regardless of whether the complaint was accepted or not, the Executive Director of RAR-OCP decision will be communicated to complainant in maximum 30 days from registration date of the complaint, according to chapter 8 of OG 27 provisions. When the complaint aspects requires more detailed examination, according to chapter 9 of OG 27, Executive Director of RAR-OCP may prolong this term with no longer than 15 days.

5.1.5 If the decision is to reject the complaint, PD officially sends to complainant, by a letter filled in on a Correspondence form, code FG-01-18, the decision to reject the complaint and the reasons thereof, the letter being signed by the Executive Director of RAR-OCP.

5.1.6 If the decision is to admit the complaint, Executive Director of RAR-OCP designates a Commission of complaint analyse composed of personnel not involved in the certification in question (minimum 3 members). CAR may be composed by: RAR-OCP technical experts, other technical experts/auditors/assessors of RAR-OCP, RAR-OCP Head of Compartment and / or Heads of collectives, RAR-OCP QM, etc.

5.1.7 CAR records the complaint in the Complaints Registry, code R12, evaluates / investigates the complaint and all the existent data in the file, requests documents and / or additional records, if applicable, draws conclusions arising from analysis and determines the activities to be carried out for settling it.

5.1.8 These activities may be:

- initiating a new / some new conformity assessment activity / activities of the product in question (audit, inspection, tests, supplementary evaluation, etc.);
- initiating corrections / corrective and / or preventive actions related to the activities carried out by RAR-OCP.

5.1.9 The decision to admit the complaint as well as the CAR decisions are communicated to the complainant by a letter filled in on a Correspondence form, code FG-01-18 and sent under the signature of the Executive Director of RAR-OCP.

5.1.10 During the investigation, CAR establishes the staff responsible for the next activities, the necessary resources and how to obtain them, as well as their development program. The designated responsabil personnel will carry on the specified activities and will collect related records according to RAR-OCP procedures. CAR will track the progress and results and, if possible, will inform the complainant.

5.1.11 In case of a complaint referring to activities carried out by the licence holders which put on the market certified products by RAR-OCP, this one is notified about supplementary activities that will be carried out, and about the costs to be paid by him. After completion of these activities, or, in case of refusal to accept these supplementary activities / to pay the supplementary costs, it may be decided suspension/withdrawal of the licence according to PG-07 – Suspension and withdrawal of certification.

5.1.12 If, after analyzing the complaint, nonconformities are identified in the activity of RAR-OCP, they will be treated according to PG-18 – Treatment of nonconformities.

5.1.13 At the end of the process of settlement the complaint, CAR officially communicates that to the complainant, by a letter filled in on a Correspondence form, code FG-01-18, and sent under the signature of Executive Director of RAR-OCP.

5.1.14 If not satisfied with the complaint settlement and with the decision of Executive Director of RAR-OCP / of CAR, the complainant may appeal within 15 days as of sending this decision.

5.1.15 The effectiveness of the activities subsequent to a complaint is assessed:

- with the occasion of internal audits, for the complaints received for RAR-OCP activity, or,
- within surveillance activities, for the complaints related to activities carried out by the licence holders.

5.2 Appeals settlement

5.2.1 The appellant sends officially to RAR-OCP the appeal, which must include, at least, complete identification of the appellant, namely his name and address, and the object of the appeal. The

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Appeal may be send by the appellant by post / fax / e-mail or handed over personally to RAR Secretariat / Executive Director of RAR-OCP / RAR-OCP Technical Secretariat / Designated Person from RAR-OCP which processed the certification file in question

5.2.2 After being received, the appeal is directed to PD for recording and assigning a number and date of entry in the Correspondence Registry, code R4, and for sending it, together with the certification file on which was carried out the appeal, to the Executive Director of RAR-OCP.

5.2.3 Executive Director of RAR-OCP designates a Commission of appeal analyse composed of personnel not involved in the certification in question (at least 3 members). CAA may be composed by: RAR-OCP technical experts, other technical experts/auditors/assessors of RAR-OCP, Head of Compartment and/or Heads of collectives, QM RAR-OCP, a person of Juridic Department, etc.

5.2.4 CAA examines the appeal, establishes its validity and decides how to handle the appeal, which may consist in:

- c) rejecting the appeal, for specified reasons;
- d) admission of the appeal.

5.2.5 Regardless of whether the appeal was accepted or not, the CAA decision will be communicated to appellant in maximum 30 days from registration date of the appeal, according to chapter 8 of OG 27 provisions. When the appeal aspects require more detailed examination, according to chapter 9 of OG 27, Executive Director of RAR-OCP may prolong this term with no longer than 15 days.

5.2.6 If the decision is to reject the appeal, PD / CAA officially sends to appellant, by a letter filled in on a Correspondence form, code FG-01-18, the decision to reject the appeal and the reasons thereof, the letter being signed by the Executive Director of RAR-OCP.

5.2.7 If the decision is to admit the appeal, CAA records the appeal in the Appeals Registry, code R13, evaluates / investigates the appeal and all the existent data in the file, requests documents and / or additional records, if applicable, draws conclusions arising from analysis and determines the activities to be carried out for solving the appeal.

5.2.8 These activities may be:

- initiating a new / some new conformity assessment activity / activities of the product in question (audit, inspection, tests, supplementary evaluation, etc.);
- initiating corrections / corrective and / or preventive actions related to the activities carried out by RAR-OCP.

5.2.9 The CAA decisions are communicated to the appellant by a letter filled in on a Correspondence form, code FG-01-18, and sent under the signature of the Executive Director of RAR-OCP.

5.2.10 During the investigation, CAA establishes the staff responsible for the next activities, the necessary resources and how to obtain them, as well as their development program. The designated responsabil personnel will carry on the specified activities and will collect related records according to RAR-OCP procedures. CAA will track the progress and results and, if possible, will inform the appellant.

5.2.11 If, after analyzing the appeal, nonconformities are identified in the activity of RAR-OCP, they will be treated according to PG-18 – Treatment of nonconformities.

5.2.12 At the end of the process of settling the appeals, CAA officially communicates that to the appellant, by letter filled in on a Correspondence form, code FG-01-18, sent under the signature of Executive Director of RAR-OCP.

5.2.13 The effectiveness of the activities subsequent to an appeal is assessed with the occasion of internal audits.

6 RESPONSIBILITIES

6.1 Executive Director of RAR-OCP



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6.2.1 Examines the complaint, establishes its validity and decides how to handle the complaint.

6.2.2 Designates the Commission of complaint analyse / the Commission of appeal analyse.

6.2.3 Signs the letters / addresses referring to: decision of admission / rejection of the complaint / appeal, CAR / CAA decisions, conducting and completion of the activities set out to settle the complaint / appeal.

6.2 PD

6.2.1 Records the complaint / appeal and sends it, together with the certification file, to Executive Director.

6.2.2 Elaborates notification letter to complainant / appellant on the Executive Director's decision to reject the complaint / appeal.

6.3 CAR

6.3.1 Records the complaint in the Complaints Registry.

6.3.2 Evaluates / investigates the complaint and the existent data in the file.

6.3.3 Requests additional documents / records to evaluate the complaint.

6.3.4 Draws up conclusions arising from complaint analysis and establishes the necessary activities to settle the complaint.

6.3.5 Establishes the staff responsible, the necessary resources and how to obtain them, as well as the development program to settle the complaint.

6.3.6 Elaborates notification letter to complainant on the Executive Director's decision to admit the complaint and on CAR's decisions.

6.3.7 Tracks the progress and results of the established activities and informs the complainant about that.

6.3.8 Communicates to complainant completion of settling the complaint.

6.4 CAA

6.4.1 Examines the appeal, establishes its validity and decides how to handle it.

6.4.2 Elaborates notification letter to appellant on the decision to admit / reject the appeal.

6.4.3 Records the appeal in the Appeals registry.

6.4.4 Evaluates / investigates the appeal and the existent data in the file.

6.4.5 Requests additional documents / records to evaluate the appeal.

6.4.6 Draws conclusions arising from appeal analysis and determines the necessary activities to settle the appeal.

6.4.6 Establishes the staff responsible, the necessary resources and how to obtain them, as well as the development program to settle the appeal.

6.4.7 Elaborates notification letter to appellant on CAA's decisions.

6.4.8 Tracks the progress and results of the established activities and informs the appellant about that.

6.4.9 Communicates to appellant completion of settling the appeal.

7 RECORDS

7.1 Correspondence Registry, code R4.

7.2 Complaints Registry, code R12.

7.3 Appeals Registry, code R13

7.4 Correspondence filled in on form code FG-01-18.

7.5 Documents generated during carrying on the activities decided by CAR / CAA.