



**Procedure**

**CALLS**

**CODE: SRAC-PS-18**

**Approved**


**MANAGING DIRECTOR**

**Mihaela Cristea**

Edition: 4


Revision: 2

Date of entry into force: 08.03.2024

	<b>Procedure CALLS</b>	<b>COD SRAC-PS-18</b>
		<b>Ed. 4</b>
		<b>Rev. 2</b>

## LIST OF UPDATES

<b>Editia</b>	<b>Review</b>	<b>Content of the amendment</b>	<b>Amended page</b>	<b>Date</b>
1	0	Initial processing		06.08.2007
1	1	Change of title of the College of Ethics and Appeal	1, 3, 5	19.06.2008
2	0	Introduced references to regulated areas, restructured by chapters	all	05.08.2009
3	0	Updated 17021:2011; mention ISO/IEC 27006:2007	3,4	10.10.2011
3	1	Introduced ISO 14065 / GES /EMAS provisions.	all	24.08.2013
3	2	Updated ISO 17065	all	<i>05.03.2015</i>
3	3	Removed GHG references	3-6	25.03.2015
4	0	Updated 17021-1:2015; updated reference documents	all	30.10.2015
4	1	Introduction reference to ISO 17020:2012	3, 4	01.06.2016
4	2	<i>Alignment to IAF 2023 guidelines Introduction references: Directive 2009/28/EC Directive (EU) 2018/2001</i>	4	<i>08.03.2024</i>

	<b>Procedure CALLS</b>	<b>COD SRAC-PS-18</b>
		<b>Ed. 4</b>
		<b>Rev. 2</b>

## **1. PURPOSE AND SCOPE**

1.1. The procedure documents the process for receiving, evaluating and deciding on appeals, including taking appropriate corrections and corrective actions.

The procedure applies to all areas of SRAC CERT's activities when calls arise concerning the company's services to requesting organisations.

## **2. DEFINITIONS AND ABBREVIATIONS**

### **2.1. Definitions**

APPEAL - Form of administrative appeal against decisions of the RASC to refuse to accept an application for certification/verification/inspection/testing, decisions not to grant, to suspend or withdraw documents issued as a result of activities, or any other decisions related to the certification/verification/inspection/testing process which are considered incorrect or abusive.

DISPUTE - A form of administrative appeal against an SRAC's decision following a reply to an appeal that is considered incorrect.

### **2.2. Abbreviations**

CAp - Ethics and Appeals Commission

RRA - Call Resolution Officer

DG - Director General.

**NOTE:** In this procedure, the generic term certification also means the verification process, and certificate also means EMAS verification report.

## **3. REFERENCE DOCUMENTS**

3.1. MSM-01 - Management System Manual


3.2. SR EN ISO/IEC 17021-1: 2015 - Conformity assessment. Requirements for bodies providing audit and certification of management systems ;

3.3. SR EN ISO /CEI 17065:2013 Conformity assessment. Requirements for bodies certifying products, processes and services

3.4. SR EN ISO/IEC 17020:2012 Conformity assessment. Requirements for the operation of different types of bodies performing inspections

3.5. SR ISO/TS 22003 - Food safety management systems - Requirements for bodies operating food safety management systems certification audits

3.6. ISO/IEC 27006 - Information technology -- Security techniques -- Requirements for bodies providing audit and certification of information security management systems

	<b>Procedure CALLS</b>	<b>COD SRAC-PS-18</b>
		<b>Ed. 4</b>
		<b>Rev. 2</b>

3.7.SR EN ISO/IEC 17000 - Conformity assessment - Vocabulary and general principles

3.8.EA-2/17 Guidance on the horizontal requirements for the accreditation of conformity assessment bodies for notification purposes

3.9. Regulation (EU) 305/2011

3.10. Directive 2014/33/EU / Directive 95/16/EC

3.11. Directive 2014/31/EU / Directive 2009/23/EC

3.12. Directive 2006/42/EC

3.13. Directive 2010/35/EU

3.14. Directive 2009/28/EC

3.15. Directive (EU) 2018/2001

3.16. EU Regulation 1221:2009.

#### **4. RESPONSIBILITIES**

##### **4.1. Director General**

4.1.1. Ensure that this procedure is made available to all interested parties upon request.

4.1.2. Analyse the appeal. If it has not been involved in the subject of the appeal in the last 2 years it shall carry out its work in accordance with this procedure. If not, it notifies the Steering Committee, which appoints another Director to take over the DG's tasks in relation to the appeal.

4.1.3. Designate the person/team responsible for its resolution, respecting point 5.1.6.

4.1.4. Analyses the data resulting from the verification and investigation of the call

4.1.5. Decide whether the appeal is justified and take the necessary measures.

4.1.6. Set the answer to the appellant.


##### **4.2. Steering Committee**

4.2.1. Designate another director to take over the DG's duties in relation to the appeal if the DG has been involved in the subject of the appeal for the past 2 years.

##### **4.3. Call Handler**

4.3.1. They carry out their work under conditions of professional ethics and confidentiality of information.

4.3.2. Analyses and synthesises input data

	<b>Procedure CALLS</b>	<b>COD SRAC-PS-18</b>
		<b>Ed. 4</b>
		<b>Rev. 2</b>

4.3.3. Complete/check the information.

4.3.4. Contact the necessary stakeholders for a proper assessment of the situation.

4.3.5. Communicate the conclusions to the Director-General.

#### **4.4. Ethics and Appeals Committee**

4.4.1. Evaluate the facts that led to the dispute.

4.4.2. Review the appeal file.

4.4.3. Contact the necessary stakeholders for a proper assessment of the situation.

4.4.4. Communicate the decision to stakeholders.

### **5. PROCEDURE**

#### **5.1. General principles on appeals**

5.1.1. Any customer has the right to appeal the decisions of the certification process if the company believes it has been treated unfairly or abusively.

5.1.2. The appeal shall be made in writing and submitted to the SRAC no later than 30 days from the date of receipt of the notification of the decision.

5.1.3. The time taken to resolve an appeal should generally not exceed 30 days from receipt.

5.1.4. If, for objective reasons, this time limit is exceeded, the Director-General directly or through a designated person shall inform the appellant of the status of the appeal.

5.1.5. The DG/designated senior person is responsible for all decisions at all levels of the call handling process.

5.1.6. The DG/designated senior person ensures that persons engaged in the call handling process are not in any conflict of interest. Staff (including those acting in management positions) who have provided advice to a client, or have been employed by a client, are not used to review or approve the resolution of an appeal for that client for 2 years after the advice or employment has ended.


5.1.7. The filing of appeals, the investigation of appeals and the decision on appeals must not result in any discriminatory action against the appellant.

#### **5.2. Receiving calls**

5.2.1. Calls can reach the RASC:

- by mail
- by fax

5.2.2. by direct deposit at the RASC secretariat

	<b>Procedure CALLS</b>	<b>COD SRAC-PS-18</b>
		<b>Ed. 4</b>
		<b>Rev. 2</b>

- by e-mail

- by phone

5.2.3. The person who receives a call by e-mail or telephone will direct the caller to forward the call formally by one of the other 3 methods in 4.1.

5.2.4. Incoming calls are forwarded to the secretariat and recorded.

5.2.5. The Secretariat shall forward the appeal to the Director-General.

5.2.6. It reviews the appeal to confirm that the appeal relates to certification/verification activities for which the SRAC is responsible, and if so designates, for investigation, a person/team not involved in the audit or decision making against which the appeal is made.

5.2.7. The Director-General manages the actions taken to resolve the appeal.

### 5.3. Call handling

5.3.1. RRA sends the caller an acknowledgement of receipt of the call.

5.3.2. RRA analyses all documented sources on the subject.

5.3.3. RRA may contact, as appropriate, for further information and clarification:

- members of the audit team
- the person(s) involved in taking the decision
- caller
- experts / specialists


5.3.4. After obtaining all the necessary information, the RRA shall submit the findings to the Director General who shall review them and communicate in writing to the appellant the SRAC's views on the matters raised, including the reasons for the decision taken.

5.3.5. If the appeal is justified, the Director-General orders the necessary corrections/corrective/preventive actions and ensures that they have been implemented.

5.3.6. The appeal file is forwarded by the Director-General to the Director of Quality, who records and archives it in the appeals binder and uses it as the entry date for the summary of appeals in the management review.

### 5.4. Dispute

5.4.1. If the customer is dissatisfied with the response received, he/she may appeal against the Director-General's decision.

	<b>Procedure CALLS</b>	<b>COD SRAC-PS-18</b>
		<b>Ed. 4</b>
		<b>Rev. 2</b>

5.4.2. The customer shall submit its views in writing to the SRAC no later than 30 days from the date on which the notification of the decision was received.

5.4.3. No later than 30 days after receipt of the appeal, the Director General is required to establish with the client an Ethics and Appeals Panel (EAP) consisting of 3 persons who shall comply with the principles in 3.6 as follows:

- One designated by the client
- One designated by SRAC
- One designated by mutual agreement

5.4.4. CAp will conduct an independent investigation and analysis and its decision will be final.

5.4.5. The costs of the investigation will be borne by the client if the CAp finds the appeal unfounded and orders in favour of the SRAC.

5.4.6. If the CAp decides that the appeal is justified and decides in favour of the client, all costs related to the investigation will be borne by the SRAC. Necessary expenses of the investigation means all expenses incurred for the purpose of disposing of the dispute (e.g. costs of the CAp, payment of witnesses, expert opinions, etc.).

5.4.7. If, following the resolution given by the CAp, the client who has contested the appeal considers himself wronged, he may apply to the competent courts, triggering a dispute which will be settled according to the provisions of the Romanian legislation in force.

## **6. RECORDS**

The appeal file includes:

- Correspondence
- Results of audits, expert opinions, other evaluations
- The resulting solution

## **7. ANNEXES**

Not applicable.