

INTEGRATED QUALITY PROCEDURE

APPEAL, COMPLAINT AND DISPUTE

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DOCUMENT AUTHORIZATION & REVISION HISTORY

Revision No.	Description of Change	Date of Release	Prepared By	Approved By
00	Initial Document	18/03/2020	SC	 MD
01	5. Documented Information Additional Documented Information of Product Certification (PC)	12/10/2021	Amilia	 MD
02	4.1.1 Complaint against the TCI's client (a) ...and form submission through TRANS's Website... 4.1.2 Complaint against the TCI's management (a) Upon receipt of the complaint in writing and form submission through TRANS's Website, the Managing Director and/or Scheme Coordinator shall confirm whether the complaints received relate to certification activities that TRANS is responsible for and, if so, shall deal with it. 5. Documented Information Additional Documented Information of Product Certification (ISO)	28/10/2021	Aqilah	 MD
03	4.1.1 Complaint against the TCI's client or from Regulator a. Any official complaint (Complaint Record Form) against TRANS's client or from regulator, it will be directed to the Managing Director and/or Scheme Coordinator. Upon receipt of the complaint in writing and form submission through TRANS's	03/12/2021	Amilia	 MD

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	Website, the Managing Director and/or Scheme Coordinator shall confirm whether the complaints received relate to certification activities that TRANS is responsible for and, if so, shall deal with it. (page 5)			
04	Changing of Company's Logo and document's letterheads	07/02/2022	Amilia	 MD
05	To update Complain and Appeal Committee	10/05/2022	Putri Hani (SC)	 MD
06	To update timeframe complaints to TRANS's management and the responsible person for complaint, appeal & dispute. Change company name Trans Certification International Sdn Bhd to Trans Certification & Inspection Sdn. Bhd. and acronym TCI to TRANS.	21/02/2023	 Anis Fuazah SC	 Ermadasila OD
07	1. Amendment of clause 3 , responsibility of personnel involved in the management of complaint, appeal and dispute. 2. Clause 4.1 : a. Addition of definition of dispute. b. Rearrange of SOP on process of dispute whereby the dispute shall be resolved within jurisdiction of scheme coordinator. c. Inclusion of deadline of dispute. d. Inclusion of flowchart into the procedure. 3. Clause 4.2 : Appeal a. Rearrangement of SOP of clause appeal.	07/11/2023	 Siti Farhana Compliance	 Ermadasila OD

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	<p>b. Addition of role of Appeal and Complaint recorder</p> <p>c. Addition of flowchart of appeal process</p> <p>d. Addition of definition of appeal</p> <p>4. Clause 4.3 Complaint</p> <p>a. Addition of initial investigation to validate the complaint</p> <p>b. Addition of definition of complaint.</p> <p>c. Addition of flowchart of management of complaint within the organization</p>			
08	<p>1. Additional responsibility to the Appeal and Complaint Recorder Clause 3.2 (a, c, e)</p> <p>2. 4.1.7 - Change Lead Auditor to Scheme Coordinator to make appointment with company.</p> <p>3. Add email where the Recorder receives the Appeal and Complaint.</p> <p>4. Clause 4.4 - Additional info (a and e)</p> <p>5. Documented information is update on form name and retention period</p> <p>6. The annex - flowchart is update based on procedure.</p>	05/04/2024	 Wan Atiqah Compliance DCN 24 071	 Ermadasila OD
09	<p>Additional Responsibility for</p> <p>3.1 Managing Director – She/He only shall be excluded from the external cases. She/He shall only responsible for internal cases.</p> <p>3.4 Governing Advisory Council (GAC) – add for external cases.</p> <p>Amend clause 4.1.1 "...within 1 week from the last day of audit."</p> <p>Additional timeline for complain in clause 4.3.1.10 for MSPO scheme (60 days)</p>	26/08/2024	 Wan Atiqah Compliance DCN 24 157	 Ermadasila OD



1. PURPOSE

The purpose of this procedure is to establish the procedure for dealing with appeals, complaints, and disputes.

2. SCOPE

The scope of this procedure will cover any appeal, complaint and dispute related to certification raised to TRANS Certification & Inspection (TRANS) Sdn. Bhd.

3. RESPONSIBILITY

3.1 Managing Director: The Managing Director is responsible for making decisions on complaints related to staff misconduct and violations of company policy. The Managing Director's role is limited to internal cases and does not extend to external matters such as appeals, complaints, and disputes. However, if a complaint involves serious staff misconduct or a significant breach of company policy, the Managing Director will be involved in the investigation process.

3.2 Appeal and Complaint Recorder:

- a. Responsible for receiving, acknowledge, and initiating the procedures set out for the appeal or complaint or dispute from the clients or other interested parties.
- b. Independent personnel appointed to validate and record the appeals, complaints, and disputes within the organization.
- c. Facilitate the appointment of the Appeal and Complaint Committee
- d. Responsible to maintain a Complaint, Appeal and Dispute Log to keep track on the status of case received.
- e. Responsible for the receipt, writing up the feedback, and acknowledgement to clients or other interested parties.

3.3 Appeal and Complaint Committee:

- a. A panel who makes decisions on the unresolved issue of complaint, dispute, and appeal.
- b. Responsible for deciding on the outcome of the Appeal and Complaint received.



- c. Have not been involved in the audit process;
 - d. Have not been involved in the decision making of the certification;
 - e. There is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy for a client, or been employed by a client, will not be used by TRANS to review or approve the resolution of a complaint or appeal for that client within two years following the end of the consultancy or employment.
- 3.4 Governing Advisory Council (GAC): Responsible for investigating the complaint against Top Management of organization (TRANS) and the external cases.

4 PROCEDURE

4.1 Dispute

Definition: Disputes

A representation made by client who does not accept specific findings or recommendation of TRANS Lead Auditor / Inspector

- 4.1.1 If a client does not agree with the findings or recommendations made by the lead auditor, they may request a review of these findings or recommendations with the Scheme Coordinator. This request must be submitted within one (1) week from the last day of the audit in writing.
- 4.1.2 In the event of client does not agree with an audit finding, and this is not resolved at the end of audit, the lead auditor shall highlight the unresolved issue in the audit report. The unresolved issue shall be brought to the attention of Scheme Coordinator concerned, not more than one (1) week from the last day of audit.
- 4.1.3 The relevant Scheme Coordinator shall review and investigate on the unresolved issue. The decision shall be made after the consultation of other competent person within the organization.
- 4.1.4 A decision shall be made within two (2) weeks of the issues being raised and the client shall be notified in the writing after decision has been made.
- 4.1.5 For dispute that cannot be resolved at Scheme coordinator level, it shall be escalated to the higher management level, which are Operation Director and/or Business Development Director.



- 4.1.6 All records pertaining to dispute, shall be kept, and maintained by Recorder in the Complaint, Appeal and Dispute Log.
- 4.1.7 Where necessary, Scheme Coordinator will make an appointment to discuss the matter with the company. If the company agrees, a separate assessment should be scheduled, and the Scheme Coordinator/Operation Director may appoint a new assessment team to conduct the assessment. The findings of the subsequent audit will be the conclusion of TRANS.

4.2 Appeal

Definition: Appeals

A representation made by a client who does not accept a decision of certifier on product or management system certification.

- 4.2.1 When a client does not satisfy or agree with the certification decision (i.e. termination, withdrawal, suspension or reduction of scope etc.), an appeal may be made in writing within one (1) weeks of notification of decision to the support@transcert.com.my.
- 4.2.2 The receiver: Appeal and Complaint Recorder shall appoint the Appeal and Complaint Committee (Independent from the process) and notify the committee for investigation. The Appeal and Complaint Recorder shall write to appellant as acknowledgement of receipt of the appeal.
- 4.2.3 Appeal and Complaint Committee will validate and investigate the appeal, and for deciding what correction and corrective action are to be taken in response to it, taking into account the results of previous similar appeals. The decision of the Appeal will be based on consensus and the committee's decision will be final.
- 4.2.4 Upon completion of the investigation, the Appeal and Complaint Committee will inform by officially writing a letter to the appellant, the decision of the committee and will take any appropriate action as required.
- 4.2.5 Appeal and Complaint Recorder or appointed person not previously involved in the subject of appeal will write officially to the company concerned informing them of the Appeal and Complaint Committee 's decision. The decision of the Appeal and Complaint Committee and the official letter to the company will be filed in the Complaint, Appeal and Dispute Log.
- 4.2.6 Submission, investigation, and decision on appeals shall not result in any discriminatory actions against the appellant.



- 4.2.7 The timeframe from appeal investigation to final decision shall be made as soon as possible or maximum one (1) month. Notification to appellant shall be made within 14 working days after the final decision has been made.

Remark: 2 weeks for forming the investigation, 2 weeks for making a decision and 2 weeks for notifying the appellant.

4.3 Complaint

Definition: Complaint

- a. Written feedback regarding failure of product certification under Product Certification and certified clients under management system of TRANS Certification & Inspection Sdn. Bhd.
- b. Written objection or disagreement involving the services provided by TRANS.
- c. Written objection against TRANS over incorrect references or misleading use of certification mark or reference to certification and to the services provided under the scope of certification.

4.3.1 Complaint against TRANS's client or from regulator

- 4.3.1.1 All the received complaints shall be directed to Appeal and Complaint Recorder through email support@transcert.com.my which shall act as an independent party in handling the appeals, complaints, and disputes. The particulars of the complaint shall be recorded on the Complaint Record Form and Log.
- 4.3.1.2 In the event of an official complaint received from TRANS's client or regulator, the Recorder shall conduct an initial investigation. This investigation shall determine the validity of the complaint.
- 4.3.1.3 If the company is a TRANS Certification & Inspection's client or regulator, and the complaint is within the scope, the evidence or documents from the complainant shall be sought to support the credibility of the complaint. Acknowledgement of the complaint will be issued to the complainant within three (3) days of validation of the complaint by the Recorder.
- 4.3.1.4 The complaint shall be directed to the committee. Appeal and Complaint Committee shall take over the process of investigation.

- 4.3.1.5 If the documents or evidence are adequate and reviewed, the committee shall issue the investigation report to the complainant within 2 weeks from the validation date.
- 4.3.1.6 If the documents are still not adequate after two (2) months, the Special audit/Short Notice audit should be conducted to the client or organization. The report will be issued to the complainant.
- 4.3.1.7 The Appeal and Complaint Recorder to record the action taken by certified client in the complaint record form.
- 4.3.1.8 The Appeal and Complaint Committee shall review the action taken and close the case. Submission, investigation, and decision on the complaint shall not result in any discriminatory action against the complainant.
- 4.3.1.9 Timeframe from receipt of complaint to final decision shall be made within three (3) months and notification to complainant shall be within even seven (7) working days after the final decision has been made. However, the total timeframe of complaint resolution including notification to complainant related with MSPO scheme will be 60 days as per scheme document.
- 4.3.1.10 Confidentiality, as it relates to the complainant and to the subject of the complaint, shall be maintained.

4.3.2 Complaint against the TRANS's management

- 4.3.2.1 All the received complaints shall be directed to Appeal and Complaint Recorder which shall act as an independent party in handling the appeals, complaints, and disputes. The particulars of the complaint shall be recorded on the Complaint Record Form and Log.
- 4.3.2.2 Appeal and Complaint Recorder shall conduct an initial investigation. This investigation shall determine the validity of the complaint.
- 4.3.2.3 After the complaints are found to be valid, the complainant shall be acknowledged. The Appeal and Complaint Committee shall take over the process of investigation. If the complaint is against Top Management, GAC members shall be notified and investigate the complaint.

- 4.3.2.4 Once a complaint received is validated, all necessary information and evidence shall be compiled.
- 4.3.2.5 The Appeal and Complaint Committee have a meeting to investigate the complaint and identify:
 - a. If any aspect of the TRANS has failed and if so, identify corrective action to prevent recurrence.
 - b. If there are any shortcomings with the Management Systems and/or processes of TRANS client. If this is the case, the client will be required to put in place a suitable corrective action process. TRANS may need to take additional action as a result of identified system failings.
- 4.3.2.6 If necessary, conduct a discussion with the complainant and/or scheme concerned if need to get further information or clarification. Failure to receive a response from complainant within two (2) months after follow ups, complaints may be closed without further action.
- 4.3.2.7 In circumstances where complaints received are related to serious misconduct of the staff, violation of company policy, the Managing Director shall be included in the manner of investigation to be conducted.
- 4.3.2.8 If the complaint is valid, the Appeal and Complaint Committee shall identify the relevant scheme/department to investigate the root cause of the complaint.
- 4.3.2.9 Upon completion of the investigation, the Appeal and Complaint Committee will recommend the correction and corrective action that needs to be taken where necessary. Thus, the relevant staff has to implement appropriate correction and corrective action, and the Appeal and Complaint Committee assess the effectiveness of the corrective action taken. The outcome of the complaint committee is to be documented in the Complaint, Appeal and Dispute Log and Complaint Record Form.
- 4.3.2.10 The timeframe from receipt of complaint to final decision shall be made within three (3) months and notification to complainant shall be within seven (7) working days after the final decision has been made.



4.3.2.11 Confidentiality, as it relates to the complainant and to the subject of the complaint, shall be maintained.

4.4 Corrective and Preventive Action

- 4.4.1 All disputes, appeals, and complaints' CAR must be resolved and closed within the specified timeframe outlined in the flowchart (see Annex). These resolutions will be documented in Corrective Action Request (CAR) form and the Complaint, Appeal and Dispute Log. The purpose is to track complaints and appeals, along with the actions taken to address them, providing a clear overview of their status and settlement.
- 4.4.2 The Recorder will review the records of Complaint, Appeal and Dispute Log every six-monthly basis. When a non-conformance trend or potential problem is detected, Recorder will issue the case to the relevant person to investigate the problem.
- 4.4.3 The relevant person will discuss the result of the investigation with the Top Management and decide on the corrective/preventive action. The corrective/preventive action will be implemented accordingly. The Recorder will assess the effectiveness of the corrective/preventive action taken and suggest and/or implement further preventive actions if necessary.
- 4.4.4 The Managing Director and/or Recorder will close the case upon satisfactory corrective/preventive action being taken.
- 4.4.5 All actions taken will be discussed at the next management review meeting. If there is any subsequent action that needs to be taken, top management will determine the next course of action if necessary.

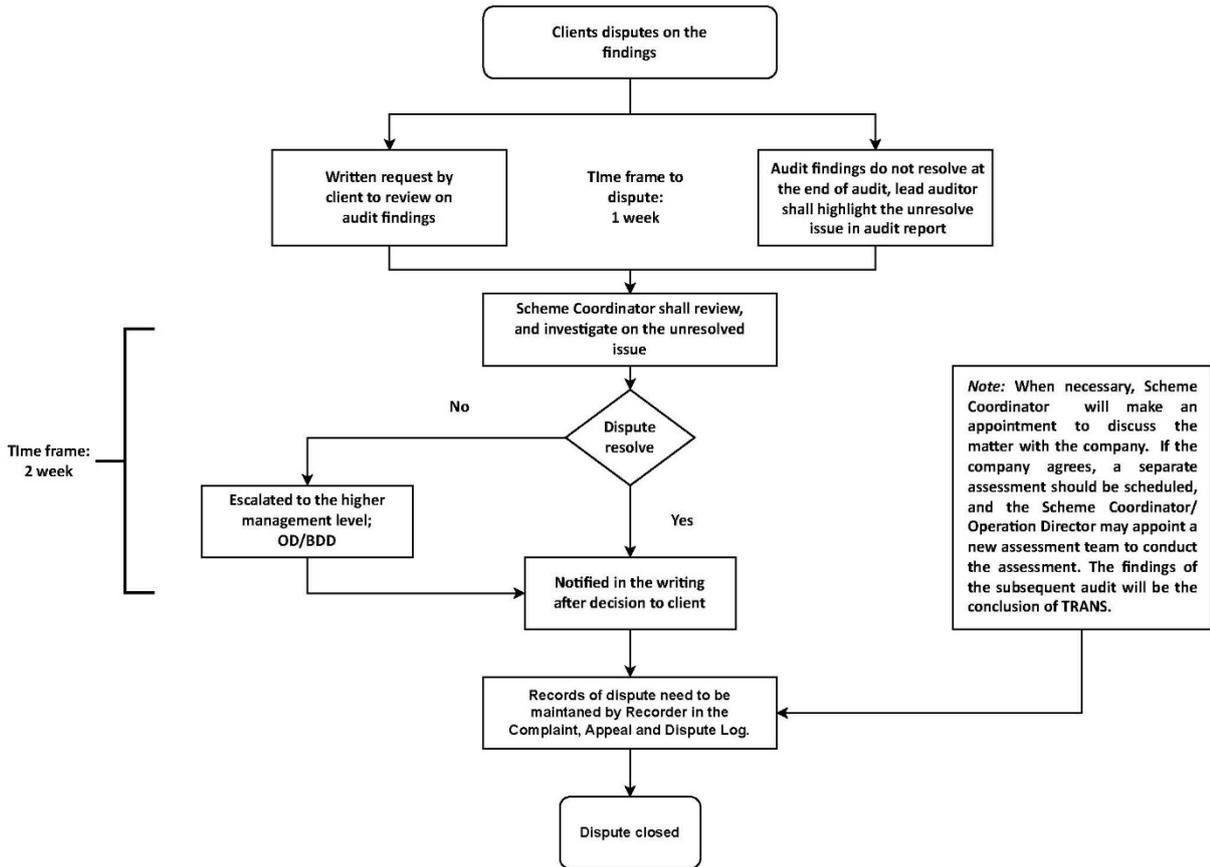
5 DOCUMENTED INFORMATION

Documented information shall be maintained and controlled in accordance with Document and Data Control's Procedure, as below:

No.	Documented Information	Form No.	Retention Period
1	Complaint, Appeal and Dispute Record Form	TCI-P09-F1	10 years
2	Complaint, Appeal and Dispute Log	TCI-P09-F4	10 years



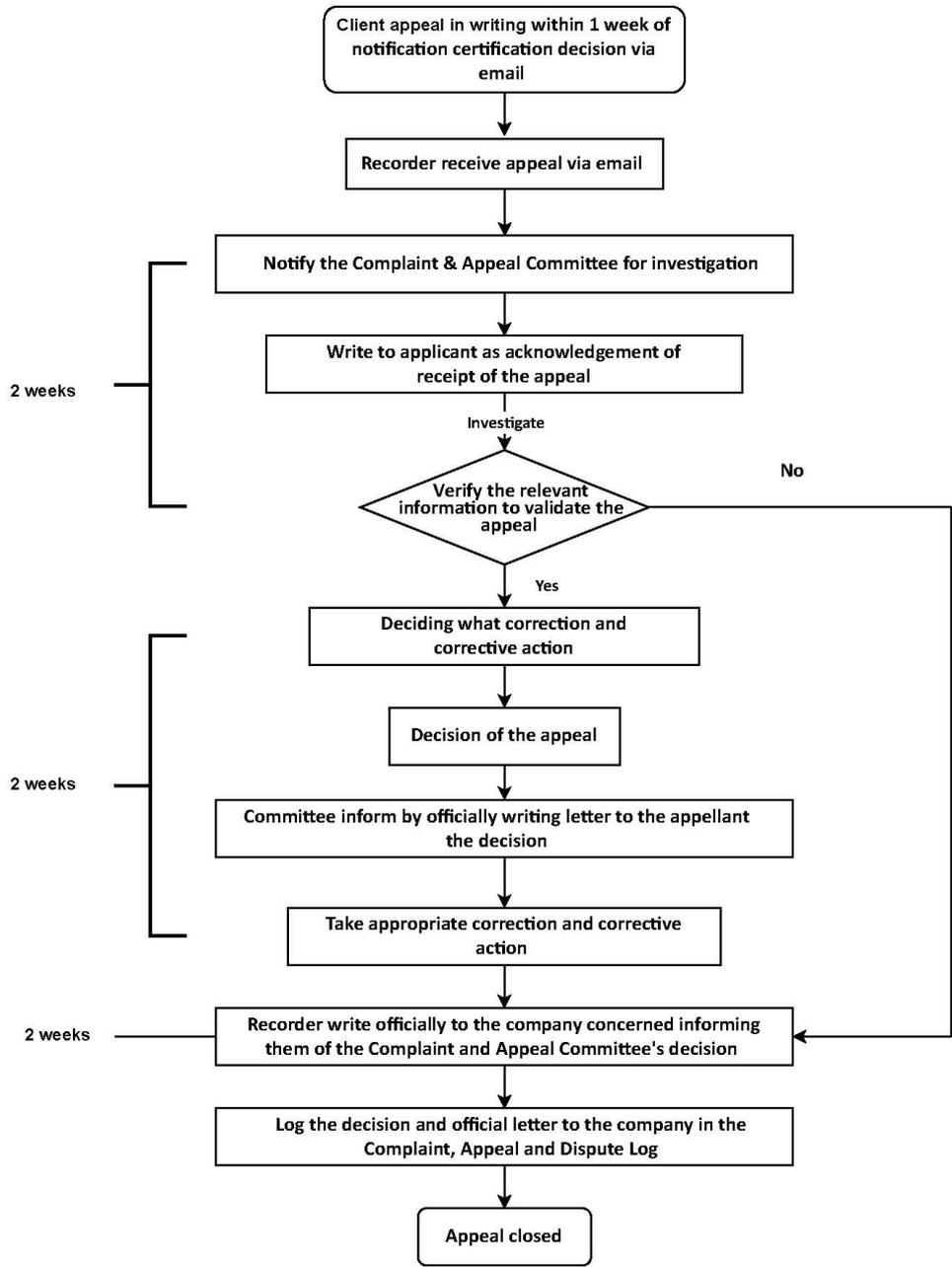
ANNEX A – FLOWCHART OF MANAGEMENT OF DISPUTE



Total timeline: Two (2) weeks (excluded notifying client)



ANNEX B – FLOWCHART OF MANAGEMENT OF APPEAL

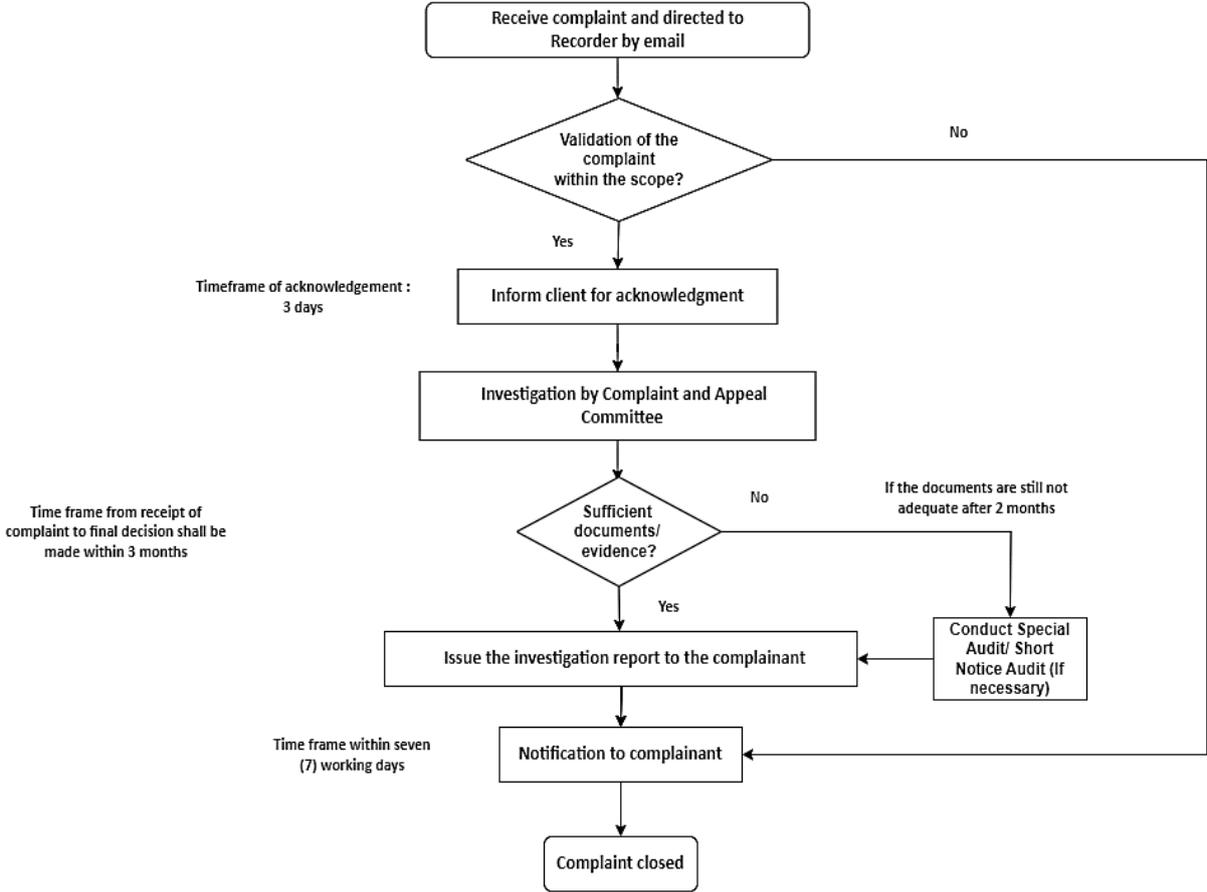


Total timeline: One (1) month (excluded notifying appellant)



ANNEX C – FLOWCHART OF MANAGEMENT OF COMPLAINT

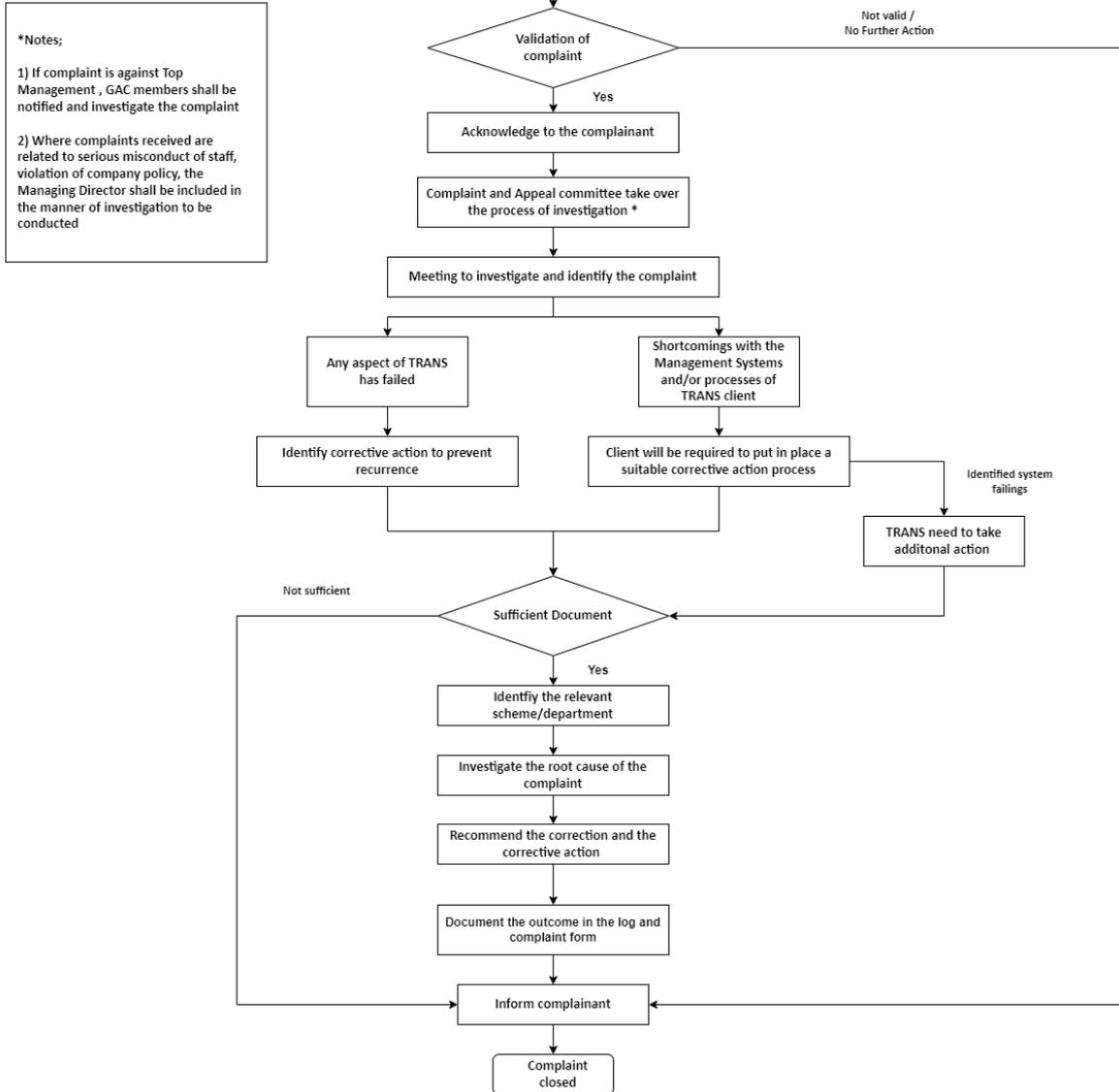
C.1 - COMPLAINT AGAINST TRANS’S CLIENT OR FROM REGULATOR



Total timeline: Three (3) months (excluded notifying complainant)

*Total timeframe of complaint resolution including notification to complainant related with MSPO scheme will be 60 days as per scheme document.

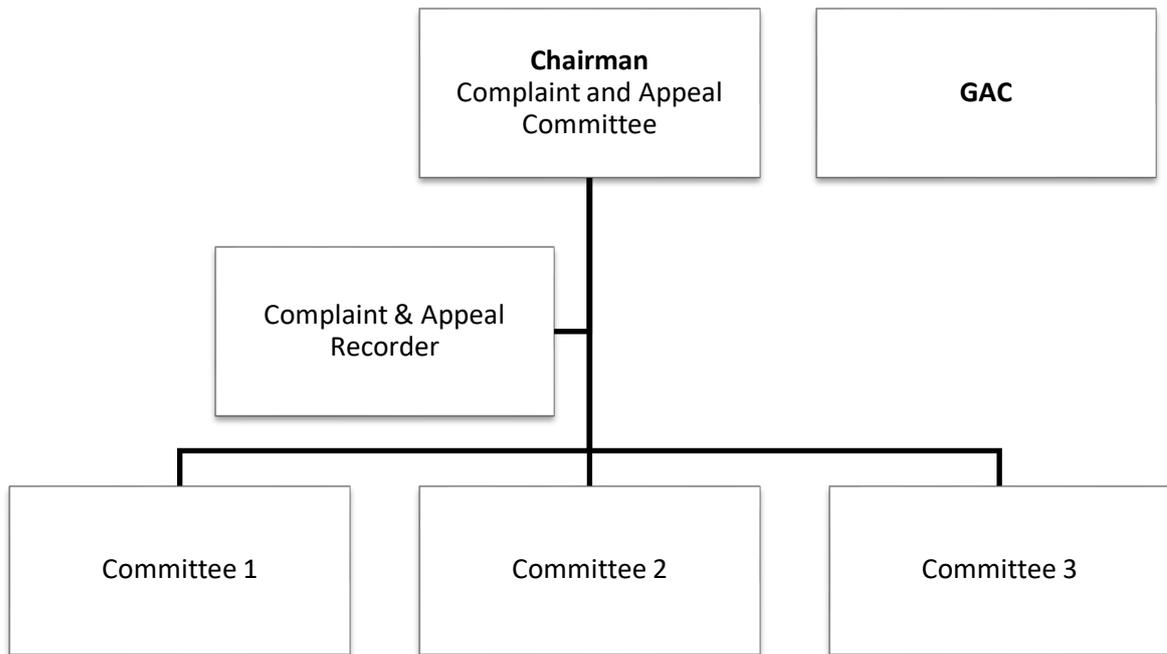
C.2 - COMPLAINT AGAINST THE TRANS'S MANAGEMENT



Total timeline: Three (3) months (excluded notifying complainant)



ANNEX D – ORGANIZATION CHART OF APPEAL AND COMPLAINT COMMITTEE



Note:

- a. Chairman - Appeal and Complaint Committee
 - i. Appointed by Complaint & Appeal Recorder
 - ii. Independent from the process
- b. Complaint & Appeal Recorder
 - i. Independent personnel appointed to validate and record the complaint, appeal, and dispute within the organization
- c. Committee
 - i. Committee 1/2/3 shall be comprised of independent personnel which could be as below
 - 1. Lead Auditor
 - 2. Scheme Coordinator
 - 3. Top Management (MD, OD, BDD)
 - 4. Administrative
 - 5. Compliance Executive