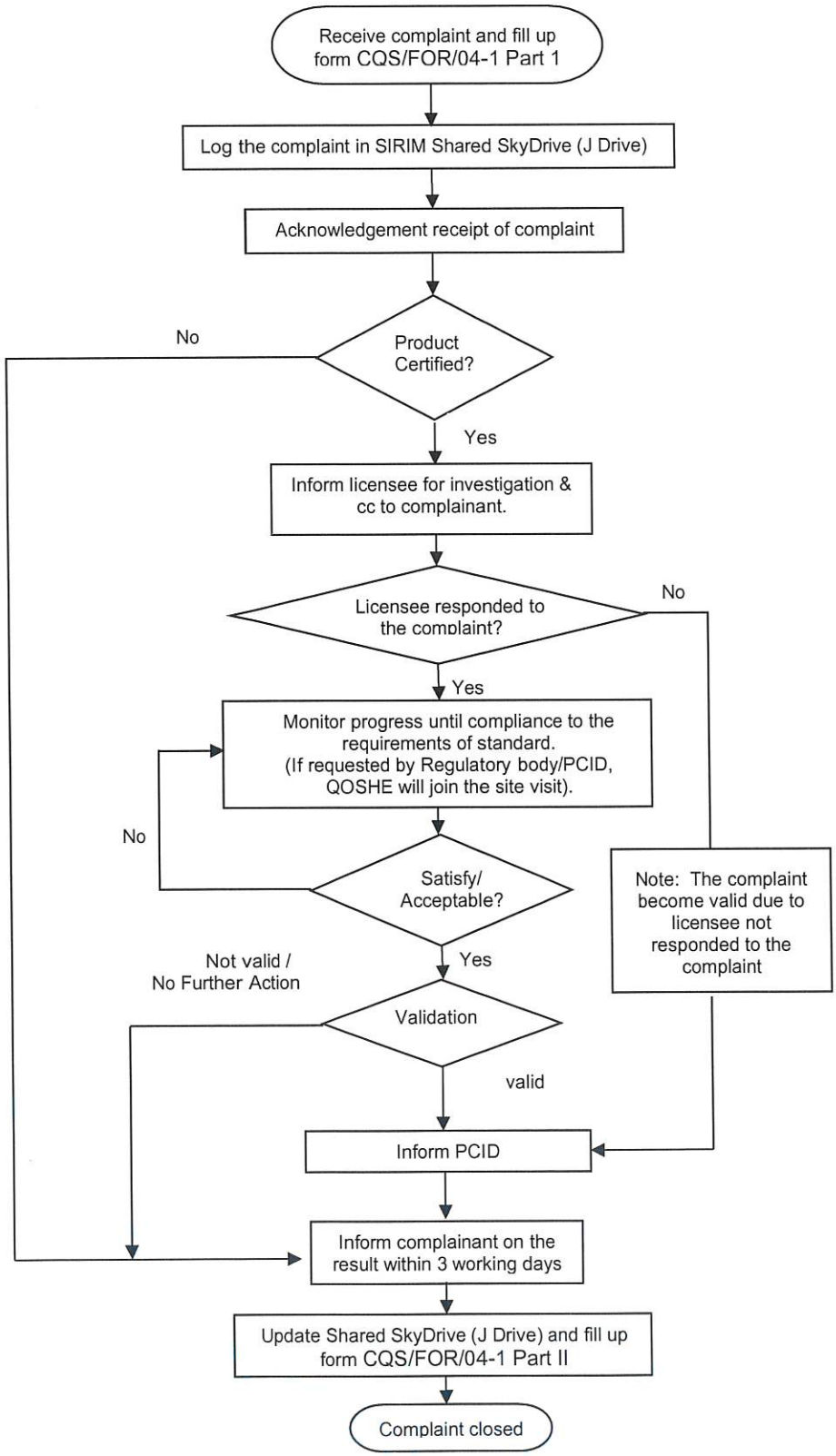
SIRIM QAS International Sdn. Bhd.

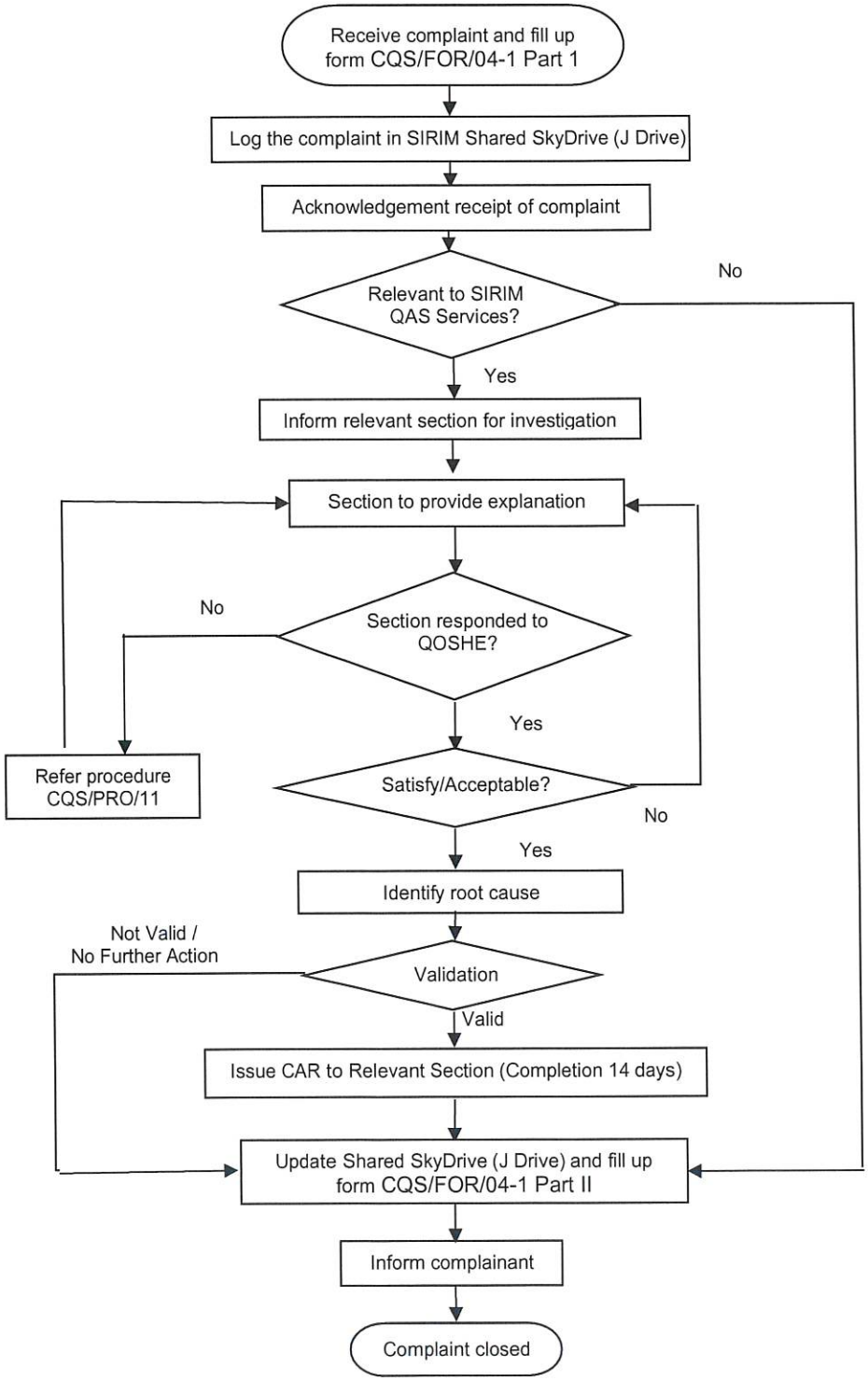
PROCEDURE ON COMPLAINT HANDLING

Prepared by	Reviewed and Approved by
FAUZIAH AHMAD	NUR FADHILAH MUHAMMAD
Signature	Signature
Date 16.7.2024	Date 19.7.2024

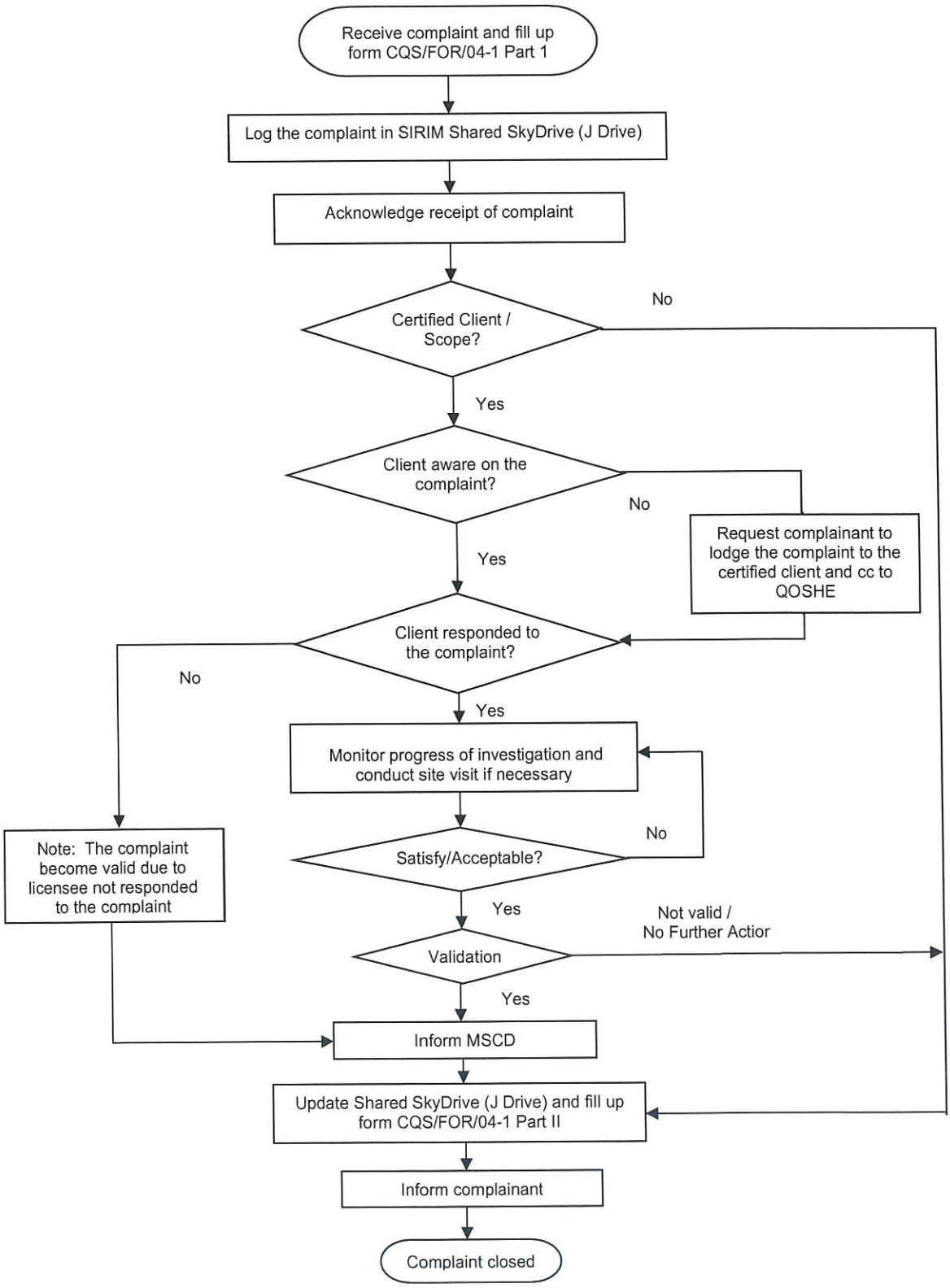
Complaint on Type 1 and Type 5 (Product Certification)



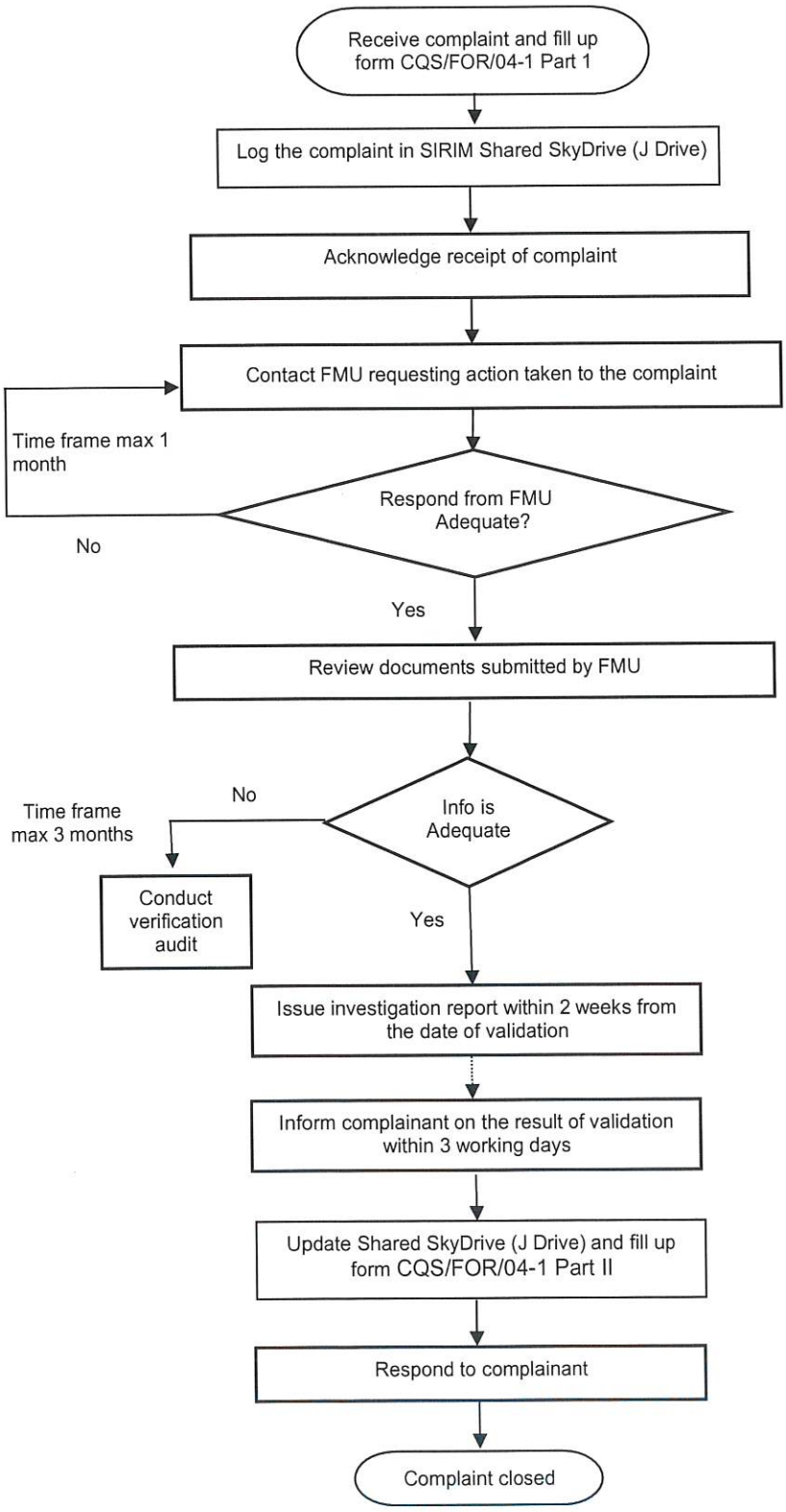
Complaint on SIRIM QAS International Services



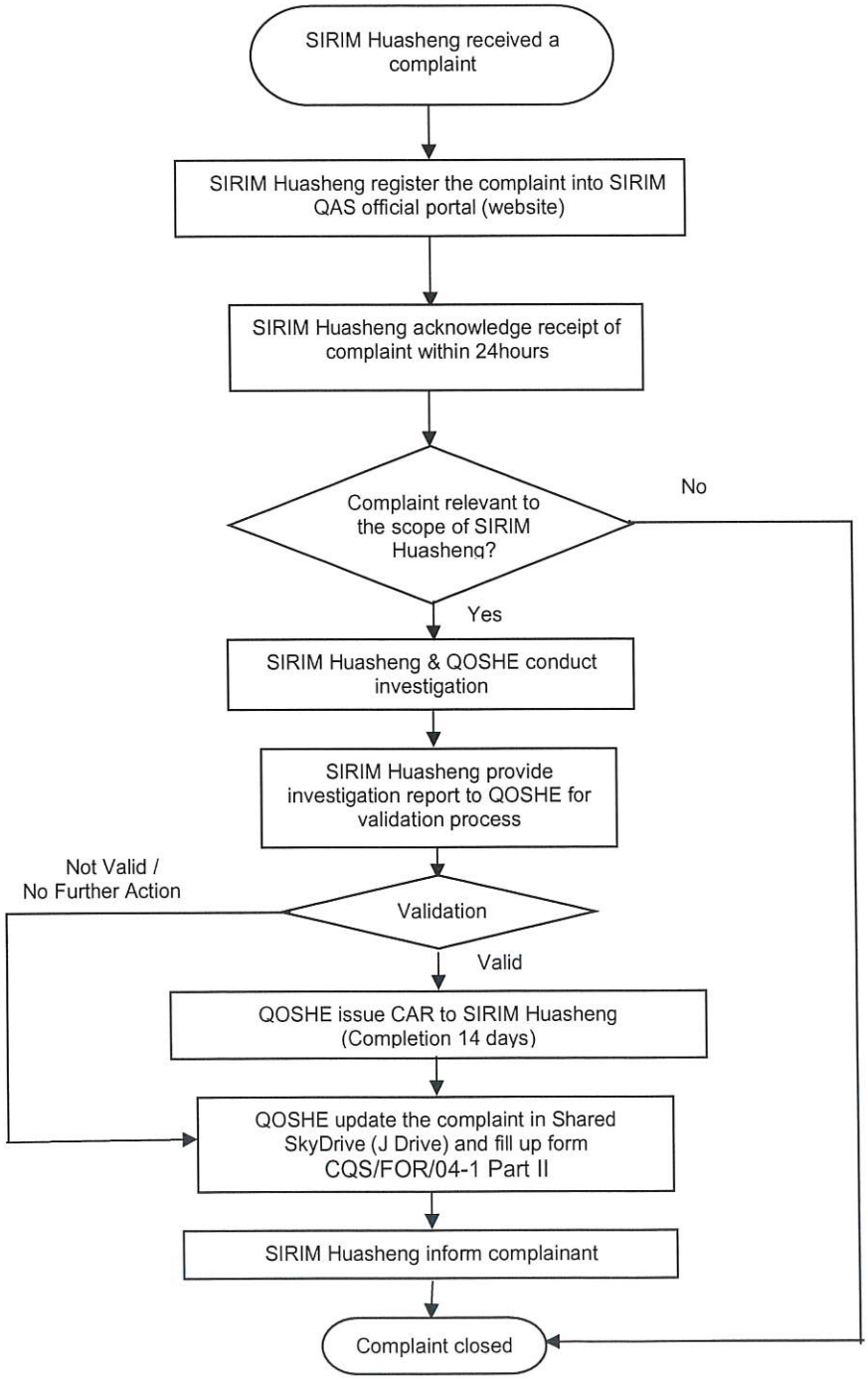
Complaint on client certified under management system (MSCD)



Complaint on certified client under Forest Management System (FAF)



Complaint on SIRIM Huasheng Services



1.0 PURPOSE

1.1 To define how complaints are handled within SIRIM QAS International Sdn. Bhd.

2.0 SCOPE

2.1 This procedure is applicable to all complaints from external client directed against the services provided by SIRIM QAS International Sdn. Bhd., its subsidiary, sub-contractors, and its licensees.

2.2 This procedure shall be made available to the public.

3.0 REFERENCES

3.1

SQAS/QM	Quality Manual
CQS/PRO/11	Procedure for Issuance of NCR to Staff
ePCS/PRO/02	Procedure for Maintaining Certification
CQS/PRO/10	Handling of Non-Conformities
ISO IEC 17021-1	Conformity assessment – Requirements for bodies providing audit and certification of management system – Part 1: Requirements
ISO IEC 17065	Conformity assessment – Requirements for bodies certifying products, processes, and services.
MS ISO IEC 17025	General Requirements for the Competence of Testing and Calibration Laboratories
ISO IEC 17029	Conformity assessment – General principles and requirements for validation and verification bodies

4.0 DEFINITIONS

Complaint

1. Written feedback regarding failure of certified product under Product Certification and Certified Client under Management System of SIRIM QAS International Sdn. Bhd.

2. Written objection or disagreement involving the services provided by SIRIM QAS International Sdn. Bhd. and its sub-contractors.

3. Written objection against registered SIRIM QAS International Sdn. Bhd. licensees over incorrect references or misleading use of certification marks or misuse of validation/verification statement or any reference to certification & validation/ verification and to the services provided under the scope of certification & validation/ verification.

Licensees	Companies which are certified, validated & verified under the various schemes operated by SIRIM QAS International Sdn. Bhd.
Services	Inspection services, validation & verification services and certification services such as product certification, quality systems, environmental systems etc provided by SIRIM QAS International Sdn. Bhd. and its sub-contractors.
External Client	A customer of a product or service who is not an employee or part of the company that supplies it
Subsidiary/ SIRIM Huasheng	Refers to Hunan SIRIM Huasheng Certification and Inspection Co. Ltd. (SIRIM Huasheng)

5.0 Details of Procedure

5.1 Receipt of Complaint

	Action	Responsibility
5.1.1	All complaints shall be directed to the QOSHE Section of SIRIM QAS International Sdn. Bhd. as an independent party in handling of complaint.	All Sections
5.1.2	Note down the particulars of the complaint (including those received through website, ECHS, walk-in, email, letter, subsidiary) in Complaint Report Part One (CQS/FOR/04-1).	QOSHE
5.1.3	Record the particulars of the complaint received in the Complaint Register in Shared Drive (J Drive). For complaint received by SIRIM Huasheng, SIRIM Huasheng shall key in the complaint into the SIRIM QAS official portal (website). The content shall be translated into English if the complaint is originally from the local (china) language. QOSHE shall review and investigate or send feedback to SIRIM Huasheng if more translation is required.	QOSHE / subsidiary

5.1.4	Write to the complainant whenever possible to acknowledge receipt of the complaint immediately once received. If the acknowledgement of complaint is sent by email, copy to be cc to Head of QOSHE (Appendix 1– formatted acknowledgement). The acknowledgement shall be responded within 24 hours. For complaint received by SIRIM Huasheng, the acknowledgement shall be made by SIRIM Huasheng within 24 hours prior to the registration of the complaint to SIRIM QAS official portal (website).	QOSHE / subsidiary
5.1.5	Complaint received through ECHS will be automatically replied by ECHS and escalated to QOSHE Head by Customer Experience Team.	GL ECHS
5.1.6	For complaint on faulty product, check from the eSCIS or eCEE (Electrical Consignment) and LMS on the status of the certification. If the product is not certified, the complainant will be informed in writing and the case will be closed. If the product is certified by SIRIM, go to step 6.1 (Type 5) or 6.2 (Type 1)	QOSHE
6.0	**Complaint on Certified Product**	
6.1	**Validation (for Type 5 certification)**	
6.1.1	Get all the related information and evidence pertaining to the complaint to validate the complaint. Failure to receive response from complainant or failure to obtain sample for verification within 2 months after several follow ups been made, complaints may be closed without further action. Upon receipt of complete information, inform the manufacturer / licensee to attend on the complaint and cc to the complainant. Monitor the progress of the investigation by manufacturer / licensee until licensee demonstrates compliance to the requirement of standard and copied to the complainant to ensure transparency. Get feedback from complainant on the action taken by manufacturer.	QOSHE
6.1.2	If the action taken by manufacturer/licensee is acceptable, QOSHE as a third party which does not involve in certification process to decide whether the complaint is valid or not valid. If the complaint is considered as valid, the case shall be forwarded to PCID for their next action.	QOSHE
6.1.3	If manufacturer/licensee did not attend to the complaint, the complaint is considered as valid and PCID shall be informed accordingly.	QOSHE

6.1.4	In cases of validation process needs a sample for verification test, it shall be conducted as follows: i) <u>Complaint from the Government Authority:</u> QOSHE may use fresh samples (unused sample preferably from the same batch) provided by them. ii) <u>Complaint from the public / individual:</u> QOSHE shall find fresh samples from the market and shall not use sample provided by the complainant.	QOSHE
6.1.5	Repeated complaints may be considered valid without testing. In cases where the same model is no longer available on the market, QOSHE shall notify the licensee for their further action and inform the relevant certification section.	QOSHE
6.1.6	If the product cannot be found in the market, samples shall be taken from site (unused sample is preferable) or from the manufacturer for testing. Sampling at factory shall be done unannounced. For sampling at factory, cooperation from PO from section will be needed and shall be accompanied by QOSHE representative to maintain impartiality.	QOSHE
6.1.7	If necessary, a site visit shall be conducted. During the process of obtaining the information and evidence, it is preferably conducted by two officers to avoid potential threats and bribes. Otherwise, the process shall clearly report and justify the control measure in the complaint report.	QOSHE
6.1.8	For complaint on product that has been damaged/destroyed that the manufacturing date/batch number cannot be traced, conduct market surveillance to find fresh sample preferably of the same batch/manufacturing or the nearest possible.	QOSHE
6.1.9	Sent the sample for testing on clauses related to the complaint. Advice from the person-in-charge for certification shall be sought if necessary.	QOSHE
6.1.10	From the test result, if the product complies with the standard requirements, the complaint is considered as not valid and the complainant shall be informed in writing.	QOSHE
6.1.11	On the other hand, if the product does not comply with the	QOSHE/ Relevant

	standard requirements, the complaint is considered as valid and shall be forwarded to PCID/TSD for further action.	Section
6.1.12	For cases where judgement on product compliance cannot be done by test result alone, opinion from respective section shall be sought.	
6.1.13	QOSHE to inform the investigation findings to complainant within 3 working days.	QOSHE
6.2	**Validation (Type 1 Certification)**	
6.2.1	Upon receive of complaint on product certified through Consignment/Type Approval, determine the label number and the name of importer through our record on issuance of label.	QOSHE
6.2.2	Inform importer/applicant to attend on the complaint and copy to the complainant. Monitor the progress of the investigation by importer /applicant until licensee demonstrates compliance to the requirement of standard and copied to the complainant to ensure transparency. Get feedback from complainant on the action taken by the manufacturer where necessary.	QOSHE
6.2.3	If there is no further evidence to the complaint provided by importer/applicant is acceptable and the complaint is valid, forward the case to relevant section for their next action.	QOSHE
6.2.4	If the importer/applicant is unable to provide more evidence, the case will be considered as unable to continue and will be closed.	QOSHE
6.2.5	In cases of validation process needs a sample for verification test, it shall be conducted as follows: i) <u>Complaint from the Government Authority:</u> QOSHE may use fresh samples (unused sample preferably from the same batch) provided by them. ii) <u>Complaint from the public/individual:</u> QOSHE shall find fresh sample from market and shall not use sample provided by the complainant. Repeated complaint may be considered valid without testing.	
6.2.6	In cases where the same model is no longer available on the	QOSHE

	market, QOSHE shall notify the importer/applicant for their further action and inform the relevant testing section.	
6.2.7	Sent the sample for testing on clauses related to the complaint. Advice from the person-in-charge for testing shall be sought if necessary. (Follow clause 6.1.10, 6.1.11, 6.1.12 and 6.1.13 above)	QOSHE
6.3	**Investigation and Reporting**	
6.3.1	After the complaint is found to be valid, the complaint shall be forwarded to PCID for their further action on the licensee according to their relevant procedure on Handling of Non-conformance.	QOSHE Head
6.3.2	Upon receiving a valid memo from QOSHE section, the receiving section shall fill up the NCFR number according to the Handling of Non-conformance and return to QOSHE Section together with a copy of NCFR once action has been completed.	Certification Section
6.3.3	Fill up the CQS/FOR/04-1 as to close the complaint.	QOSHE
6.3.4	Inform the complainant of the action taken and, when necessary, the relevant parties on the status of the complaint.	QOSHE
6.3.5	Effectiveness of corrective and/or preventive actions shall be verified during the internal audit and/or further market sampling.	QOSHE
7.0	**Complaint on Management System Certification**	
7.1	**Validation (FMC)**	**Responsibility**
7.1.1	Check the status and scope of registration of the company/organization. Inform client for acknowledgement.	QOSHE
7.1.2	If the company is a SIRIM QAS International's client and the complaint is within the scope, find evident from complainant or the company/organization to support the complaint validation	QOSHE
7.1.3	Contact FMU requesting the action taken to the complaint. FAF shall review the adequacy of documents received from FMU.	FAF Head
7.1.4	If the documents are found to be adequate and reviewed, FAF shall issue the investigation report to complainant within 2 weeks from the date of validation. At the same time QOSHE shall informed to the complainant on the result of complaint validation	FAF Head

within 3 working days.

7.1.5	If the info/documents are still not adequate after three (3) months, FAF will conduct the Verification Audit to validate the case. Report will be issued to the complainant and, when necessary, the relevant parties on the status of complaints. The relevant Section shall be informed on the status and results of the complaint.	FAF / QOSHE
7.1.6	QOSHE to record the actions taken by the certified client, by completing Complaint Report Part Three and to be reviewed by QOSHE Head / Section Head and to close the case.	QOSHE
7.1.7	A copy of completed CQS/FOR/04-1 shall be forwarded to the section and Section Head shall ensure this report is available to the auditor assigned to conduct the subsequent audit for verification of effectiveness of the corrective action taken.	QOSHE
7.2	**Validation (RSPO)**	
7.2.1	Inform the relevant accreditation and/or recognition bodies and RSPO within seven days if a complaint is received from any RSPO stakeholders concerning RSPO auditors' competency or concerning the outcome or implementation of a certification assessment that the RSPO auditors has conducted.	QOSHE
7.2.2	In the event of complaints received on the RSPO certified clients; QOSHE Section with FAF Section shall conduct investigation to validate the complaints against the certified clients. However, SIRIM QAS International shall not provide any verifications or other activities concerning complaint investigations if the certified clients were to request SIRIM QAS International to conduct the verification and investigation on their behalf.	QOSHE & FAF
7.2.3	Resolve the complaints within 60 days.	QOSHE
7.2.4	If the complaint cannot be resolved within the timeframe, the relevant accreditation and/or recognition bodies shall be informed immediately.	QOSHE
7.2.5	Inform the complainant about the relevant accreditation and/or recognition bodies' complaints procedure which is available on their website.	QOSHE

7.2.6	In cases where the complaint refers to the conditions of RSPO membership, inform the RSPO Secretariat if a resolution was not achieved within 60 days.	QOSHE
7.3	**Validation (AQMS)**	
7.3.1	All requests for corrective action are responded to within 30 calendar days from receipt of complaint.	QOSHE
7.3.2	If a short notice audit is necessary, this audit shall be completed within 90 calendar days from receipt of the complaint.	QOSHE
7.3.3	After received complaint, QOSHE will investigation and validate the complaint. If the complaint is valid, QOSHE to issue Corrective Action Request (CAR), CQS/FOR/10-1 to respective section. The CAR shall be stated on the result of root cause investigation by QOSHE Section. CAR will only be closed out with evidence of correction (containment activities), conformance to applicable standard is re-established, completion of root cause analysis, completion implementation of corrective action addressing all root cause.	QOSHE
7.3.4	For complaints that cannot be resolved, it shall be referred to the Accreditation Body.	QOSHE
7.4	**Validation (For Other Section)**	
7.4.1	Check the status and scope of registration of the company/organization. Inform client for acknowledgement.	QOSHE
7.4.2	If the company is a SIRIM QAS International's client and the complaint is within the scope, find evidence from complainant or the company/organization to support the complaint validation. Failure to receive respond from complainant within 2 months upon several follow ups been made, complaints may be closed without further action.	QOSHE
7.4.3	Depending on the nature of the complaint, a site investigation may be conducted if necessary.	QOSHE
7.4.4	For complaints that involve public interest i.e., QOSHE to seek advice from the CEO on the best way to validate/investigate the complaint. This may include carrying out a short-notice audit or	QOSHE

unannounced audit.

7.5	**Investigation and Reporting**	**Responsibility**
7.5.1	Confirm with the complainant whether the complaint has been highlighted to the certified client. If no, request the complainant to complaint directly to the certified client and copy to SIRIM QAS Intl.	QOSHE
7.5.2	Request for explanation from the certified client on the complaint received.	QOSHE
7.5.3	Upon receiving of response / explanation from certified client, review the action taken by the company. If necessary, advice from respective section may be sought and conduct site verification on the action taken if necessary.	QOSHE / MSCD
7.5.4	If the action taken is not acceptable, request the company to give an explanation and to find another approach in handling the respective complaint. Repeat Clause 7.5.2.	QOSHE
7.5.5	If the action taken is acceptable, inform the complainant and, when necessary, the relevant parties on the status of complaints. The relevant Section shall be informed of the status and results of the complaint.	QOSHE
7.5.6	QOSHE to record the actions taken by the certified client, by completing Complaint Report Part Two (CQS/FOR/04-1) and to be reviewed by QOSHE Head and to close the case.	QOSHE
7.5.7	A copy of completed CQS/FOR/04-1 shall be forwarded to the section and Section Head shall ensure this report is available to the auditor assigned to conduct the subsequent audit verification of effectiveness of the corrective action taken.	QOSHE / Respective Section Head
8.0	**Complaint on SIRIM QAS International Service**	
8.1	**Validation**	
8.1.1	Get all the related information and evidence pertaining to the complaint to validate the complaint. For complaints received by SIRIM Huasheng, QOSHE shall guide SIRIM Huasheng in validation process. SIRIM Huasheng shall deal directly with the complainant according to the guidance given by QOSHE. Any communication between SIRIM Huasheng and the complainant	QOSHE/ Subsidiary

shall be copied to QOSHE.

8.1.2	If necessary, conduct a discussion with the complainant and/or the section concerned if need to get further information and clarification. Failure to receive a response from complainant within 2 months upon several follow ups been made, complaints may be closed without further action.	QOSHE

8.2 Investigation and Reporting

8.2.1	After the complaint is found to be valid, the respective section shall conduct an investigation to find the root cause of the complaint.	Section Head
8.2.2	If necessary and in circumstances where the complaints received are related to matters such as serious misbehavior of the staff, company's policy, etc., discuss in MC meeting on the manner of the investigation to be conducted.	QOSHE
8.2.3	If necessary, conduct a meeting between Section concerned and the complainant to clarify the issue raised. NCR may be raised by QOSHE Section Head based on the Procedure on Handling of NC (CQS/PRO/10)	QOSHE
8.2.4	Upon completion of investigation, complete Complaint Report Part Three (CQS/FOR/04-1). Recommendations to be made shall be based on the outcome of the investigations and shall be discussed with the section concerned.	QOSHE
8.2.5	The corrective and/or preventive actions, if any, (with a date of completion) on the agreed recommendations shall be taken by the section concerned. It is recommended that the completion date for the action is within 1 month.	Head, Section concerned
8.2.6	Note down the corrective and/or preventive actions submitted, if any, by completing Complaint Report Part Three.	QOSHE
8.2.7	If the corrective action taken is not acceptable, the request section concerned to take different corrective action. If the corrective action taken is found to be acceptable, the complaint will be closed out.	QOSHE

8.2.8	Inform the complainant and the relevant parties on the status of the complaint.	QOSHE
8.2.9	Ensure that no discriminatory action is taken against the complainant.	QOSHE
8.2.10	If, upon investigation by Section concerned that the complaint is valid, however, is not directly related to the services rendered by SIRIM QAS International Sdn. Bhd. its licensees and its sub-contractors, then, corrective action can be taken through cooperation with enforcing government agencies e.g. Ministry of Domestic Trade, Co-operatives and Consumerism particularly in relation to the Trade Description Act.	QOSHE Head

9.0 Effectiveness of Corrective and/or Preventive Action

		Responsibility
9.1	Review the effectiveness of corrective and/or preventive actions, if any, after the stated completion date during the subsequent internal audit.	QOSHE Head
9.2	Update status of complaints in the Complaint Register. Report on the status of complaints to SIRIM QAS International Management Committee meeting once every 2 months and in the relevant Management Review meeting.	QOSHE Head

10.0 APPENDIX / RECORDS

Document	Document reference	Records	Location	Retention Period
Complaint Register (Shared SkyDrive, J)	-	Yes	QOSHE	10 years TSD 6 years
Complaint Report Form	CQS/FOR/04-1	Yes	QOSHE	10 years TSD 6 years