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		DATE: 01/04/2025
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DOCUMENT AUTHORIZATION & REVISION HISTORY

Revision No.	Description of Change	Date of Release	Prepared By	Approved By
00	Initial Document	01/03/2024		
01	Revised procedure and include the statement for reporting and communication as per MSPO 2,9 scheme documents requirement	15/10/2024		
02	Change company name to UGG Certification Sdn Bhd	01/04/2025		

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1 PURPOSE

- 1.1 To establish a procedure for decision making responsibility and authority for suspension, withdrawal, and termination of certification of audited client for specified certification scheme.

2 SCOPE

- 2.1 This procedure is applicable to all certification audits for MSPO and ISO schemes.

3 RESPONSIBILITY

- 3.1 General Manager (GM)
- 3.2 Operation Manager (OM)
- 3.3 Operation Executive (OE)

4 REFERENCE

- 3.1 MSPO Scheme Document

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5 PROCEDURE

5.1 General

- 5.1.1 Definitions for key terms are as stipulated as follows.
- 5.1.2 Suspension – act of a formal written instruction/notification letter to the client to inform the client of temporary revocation of certification and therefore the certification is temporary invalid for the period of suspension.
- 5.1.3 Withdrawal – act of formal written instruction/notification letter to the client to inform the client of permanent retraction of certification and therefore the certification is permanently invalid; the client must stop use of the certification marks and related claims of reference to the certification for the specified certification scheme.
- 5.1.4 Reducing the scope of certification – act of narrowing the scope of certification by type of activities and/or by sites of business.

5.2 Responsibility and Authority

- 5.2.1 The OM of UGG shall be responsible and shall retain authority for decisions relating to suspension, withdrawal, and termination of certification of audited client for specified certification scheme.
- 5.2.2 The OM of UGG shall be responsible and shall retain authority for decisions relating to suspension, withdrawal, and termination of certification of audited client for specified certification scheme, in the event that GM is unable to do so for specific reasons such as on leave, medical leave, potential conflict of interests.
- 5.2.3 The GM of UGG shall also be responsible and shall retain authority for decisions relating to changes including reduction of scope of certification of audited client for specified certification scheme.
- 5.2.4 The OM of UGG shall also be responsible and shall retain authority for decisions relating to changes including reduction of scope of certification of audited client for specified certification scheme, in the event that GM is unable to do so for specific reasons such as on leave, medical leave, potential conflict of interests.

5.3 Notification to Client and Follow-Up Actions

- 5.3.1 The OM is responsible to communicate with the clients on the subsequent actions related to suspension, withdrawal, scope reduction and appeal decision status.
- 5.3.2 The Client shall be notified of right to appeal and related procedure to do so. The ***Client Appeal Form (UGG-FM(MSPO)-17)*** shall be filled up by client with details.

5.4 Suspension of Certification

- 5.4.1 The client's certified system shall be suspended when the certified management system has persistently and seriously failed to meet certification requirements, for example:
 - a) Failure to respond adequately to identify identified non-conformance(s).
 - b) Management system does not reflect the current organization and processes (e.g., because of changes, acquisitions, diversification etc.).
 - c) Major part of the management system not implemented.

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5.4.2 Surveillance audits and recertification audits not allowed to be conducted according to required frequency or as scheduled.

5.4.3 Violation of the terms of the signed certification agreement, for example:

- a) Non-payment of fees.
- b) Incorrect use of the certification mark and reference to certification.
- c) Customer voluntarily requesting temporary suspension.
- d) Evidence received from authorities that could affect the status of certificate, for example:
 - i. Evidence of non-compliance to regulatory/statutory requirements relevant for the certified management system.
 - ii. Evidence of a non-effective managements system in case of serious incidents/accidents.

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- 5.4.4 The OM who issued the certificate shall decide on the action to be taken, based on a review and duly considerations of evidence.
- 5.4.5 If suspension is decided the process below shall be followed.
- 5.4.6 Suspension of a certificate is normally initiated as the first step, followed by withdrawal if the issue of concern is not resolved within due time.
- 5.4.7 Dependent on the seriousness of the case, UGG may decide a direct withdrawal of the certificate.
- 5.4.8 Where failure of the management system is related to a specific part of the organization, UGG Certification may also consider a reduction in the scope of certification as an alternative to suspension.
- 5.4.9 UGG Certification may also choose to only give the client a warning that suspension is being considered.
- 5.4.10 UGG shall restore the suspended certification if the issue that has resulted in the suspension has been resolved.
- 5.4.11 UGG shall ensure that failure to resolve the issues that have resulted in the suspension in a time established by UGG shall result in withdrawal or reduction of the scope of certification.
- 5.4.12 The suspension period shall normally not exceed 6 months, unless there are extenuating circumstances.
- 5.4.13 UGG shall reduce the scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification.
- 5.4.14 UGG shall ensure that any such reduction are in line with the requirements of the relevant MSPO standard used for certification.

5.5 Communication with Client on Issue

- 5.5.1 Prior to the suspension notice, OM shall follow up with the concerned client by emails or by phone calls to remind the client to take the necessary actions required by UGG Certification.
- 5.5.2 The reminders to be done at least 2 times to be sent to the client.
- 5.5.3 Any phone calls shall be followed up with a written fax/or email for recording purpose.
- 5.5.4 Temporary Suspension of Certification
The OM shall make an enforceable arrangement with clients in the case of suspension refrain from further promotion of its certification.
- 5.5.5 The information shall be updated in the UGG Certification web site for the public access.
- 5.5.6 The GM shall take the necessary measures it deems appropriate.
- 5.5.7 Suspension dateline/period & reminders the suspension notice (Letter of Notification of Suspension) is to be reviewed and authorized by the GM before sending to the concerned client.
- 5.5.8 The date line of suspension period shall not exceed 6 months for the client to resolve the issue.
- 5.5.9 The OM shall follow up with the reminders at least 2 times before the notice of withdrawal or scope reduction.
- 5.5.10 Failure to resolve the issues If the client failed to resolve the issue satisfactorily, the GM shall ensure the decision of withdrawal, Letter of Withdrawal of Certification or reduction of scope of certification is documented and communicated to the client.
- 5.5.11 Reporting and communication

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- 5.5.11.1 In the event of suspension and/or withdrawal of certificate, UGG shall inform the scheme owner and their certificate holders within 24 hours from the effective date and justification of suspension and/or withdrawal. The scheme owner may instruct an UGG to suspend or withdraw a certificate. In such cases, the UGG will implement the request within two (2) working days.
- 5.5.11.2 In the case of certification involving SPOCs or scheme smallholders, group certification or multisite certification, UGG shall provide the scheme owner with a list of all sites covered by the group or multisite certification.
- 5.5.11.3 UGG shall fulfil all other criteria on reporting and communication as stipulated under the General Requirements in MSPO scheme document (Section 3).

5.6 Withdrawal (Termination) of Certification

5.6.1 Withdrawal of the certificate shall be initiated if:

- The customer does not meet the conditions of suspension.
- A suspension is not considered to be an adequate action.

5.6.2 The decision to withdraw a certificate shall be formally communicated to the customer including the requirements to:

- Terminate use of the certification mark and any reference to certification.
- Return certificate(s) and copies to UGG Certification.

5.7 Appeals by Clients

5.7.1 Client may appeal against UGG decision for scope reduction, suspension and/or withdrawal in written form (email, letter).

5.7.2 The GM shall convene meeting to review client appeal and respond accordingly in consultation with OM.

5.7.3 UGG shall have a documented process to receive, evaluate and make decisions on appeals by using the ***Client Appeals Form (UGG-FM(MSPO)-17)***. The OM shall provide the ***Client Appeal Form (UGG-FM(MSPO)-17)*** to be filled by the client when the client has indicated that they would like to make an appeal to UGG decisions relating to certification activity.

5.7.4 UGG GM shall be responsible for all decisions at all levels of the appeals-handling process.

5.7.5 UGG shall ensure that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions.

5.7.6 UGG shall ensure submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant.

5.7.7 UGG shall ensure that the appeals-handling process includes at least the following elements and methods:

- an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals.
- tracking and recording appeals, including actions undertaken to resolve them.

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c) ensuring that any appropriate correction and corrective action are taken.

5.7.8 UGG shall ensure that the appointed personnel receiving the appeal shall be responsible for gathering and verifying all necessary information to validate the appeal. The OM shall acknowledge receipt of the appeal from the client. The OM shall provide the appellant with progress reports and the result of the appeal.

5.7.9 The OM shall ensure that the decision to be communicated to the appellant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal.

5.7.10 The OM shall provide formal notice by forms of letter to the appellant at the end of the appeals-handling process. This shall be done by email as well as by registered post.

5.7.11 These appeal issues shall be resolved in a timely manner and replied to Client in written form and records of decisions shall be maintained/filed according to specified retention time.

5.7.12 Appeal Committee role are as below:

- a) The role of appeal committee for certification body is to review and decide on the appeals filed by the applicants or certificate holders who are dissatisfied with the decisions made by the certification body regarding their certification status.
- b) The appeal committee is an independent and impartial body that operates according to the established procedures and criteria of the certification body.
- c) The appeal committee consists of members who have relevant expertise and experience in the field of certification, but who are not involved in the certification process or related activities of the certification body.
- d) The appeal committee ensures that the appeals are handled fairly, objectively and transparently, and that the rights and interests of the appellants are protected.

5.8 **Complaints Handling**

5.8.1 Client and/or other stakeholders may issue complaints to UGG in written form (email, letter).

5.8.2 The OM shall email the ***Complaint Form (UGG-FM(MSPO)-16)*** to the client to fill up the complaint details in a structured manner to facilitate investigation by UGG and to undertake suitable corrective/preventive/improvement actions.

5.8.3 The GM shall convene meeting to review these complaints and respond accordingly in consultation with the Operation Manager.

5.8.4 Complaints shall be resolved in a timely manner and replied to complainant in written form.

5.8.5 Records of complaints and their resolutions shall be maintained according to specified retention time in the UGG Master List of Files.

5.8.6 UGG shall ensure that submission, investigation and decision on complaints will not result in any discriminatory action against the complainant.

5.8.7 Upon receipt of a complaint, the OM shall confirm whether the complaint relates to certification activities that UGG is responsible for.

5.8.8 If so, the OM shall deal with the complaint by utilizing the ***Complaint Form (UGG-FM(MSPO)-16)***. The OM shall provide the ***Complaint Form (UGG-FM(MSPO)-16)*** to be filled by the client when the client has

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indicated that they would like to make a complaint to UGG relating to certification activities of the CB office personnel and/or audit personnel.

- 5.8.9 UGG shall ensure that, if the complaint relates to a certified client, the examination of the complaint shall consider the effectiveness of the certified management system.
- 5.8.10 UGG shall ensure that any valid complaint about a certified client is referred by UGG to the certified client in question shall be done at an appropriate and timely manner.
- 5.8.11 UGG shall have a documented process to receive, evaluate and make decisions on complaints by utilizing the ***Complaint Form (UGG-FM(MSPO)-16)***.
- 5.8.12 UGG shall ensure that the complaint-handling process is subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.
- 5.8.13 UGG shall ensure that the complaints-handling process include at least the following elements and methods:
- an outline of the process for receiving, validating, investigating the complaint, and for deciding what actions are to be taken in response to it.
 - tracking and recording complaints, including actions undertaken in response to them.
 - ensuring that any appropriate correction and corrective action are taken.
- 5.8.14 The OM shall receive the complaint and be responsible for gathering and verifying all necessary information to validate the complaint.
- 5.8.15 Whenever possible, the OM shall acknowledge receipt of the complaint.
- 5.8.16 The OM shall provide the complainant with progress reports and the result of the complaint.
- 5.8.17 The GM/OM shall ensure that the decision shall be communicated to the complainant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint.
- 5.8.18 The GM/OM shall give formal notice at the end of the complaints-handling process to the complainant.
- 5.8.19 UGG shall determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution is to be made public.
- 5.8.20 These complaint issues shall be resolved in a timely manner and replied to Client in written form and records of decisions shall be maintained/filed according to specified retention time.

6 APPENDIX

Nil