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VERSION 1**

Complaint Handling and Dispute Resolution Mechanism



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TABLE OF CONTENTS

INTRODUCTION	4
A. Complaints Handling & Dispute Resolution Mechanism Schematic Diagram	4
B. Complaints Handling & Dispute Resolution Mechanism Interface Diagram.....	5
STAKEHOLDER MANAGEMENT PROCEDURE	6
A. POLICY.....	6
B. PURPOSE	6
C. SCOPE	6
D. DEFINITIONS	6
E. ABBREVIATIONS	7
F. PREAMBLE	7
G. PROCEDURE	7
H. POSTAMBLE.....	15
I. RECORDS.....	15
COMPLAINTS & NONCONFORMITY MANAGEMENT PROCEDURE.....	35
A. POLICY.....	35
B. PURPOSE	35
C. SCOPE	35
D. DEFINITIONS	35
E. ABBREVIATIONS	36
F. PREAMBLE	36
G. PROCEDURE	36
H. POSTAMBLE.....	42
I. RECORDS.....	42
RISK MANAGEMENT & PREVENTIVE ACTION PROCEDURE	54
A. POLICY.....	54
B. PURPOSE	54
C. SCOPE	54
D. DEFINITIONS	54
E. ABBREVIATIONS	55
F. PREAMBLE	55
G. PROCEDURE	55
H. POSTAMBLE.....	67
I. RECORDS.....	67
CORRECTIVE ACTION PROCEDURE	46

A. POLICY.....	46
B. PURPOSE	46
C. SCOPE	46
D. DEFINITIONS	46
E. ABBREVIATIONS	46
F. PREAMBLE	47
G. PROCEDURE	47
H. POSTAMBLE.....	49
I. RECORDS.....	49
INVESTIGATION & REPORTING PROCEDURE	73
A. POLICY.....	73
B. PURPOSE	73
C. SCOPE	73
D. DEFINITIONS	73
E. ABBREVIATIONS	73
F. PREAMBLE	74
G. PROCEDURE	74
H. POSTAMBLE.....	Error! Bookmark not defined.
I. RECORDS.....	83
DISPUTE MANAGEMENT & RESOLUTION PROCEDURE.....	96
A. POLICY.....	96
B. PURPOSE	96
C. SCOPE	96
D. DEFINITIONS	96
E. ABBREVIATIONS	99
F. PREAMBLE	99
G. PROCEDURE	99
H. POSTAMBLE.....	Error! Bookmark not defined.
I. RECORDS.....	114

INTRODUCTION

The Malaysian Timber Certification Scheme (MTCS) is developed and maintained by the Malaysian Timber Certification Council (MTCC) as its National Governing Body (NGB)

Organizations that seek to be certified to the standards of the MTCS shall implement management systems complying to the requirements of the standards.

Accredited certification bodies (CBs) are responsible for validating that the organizations, in their entirety or parts of the organizations, fulfil the compliance requirements of the MTCS.

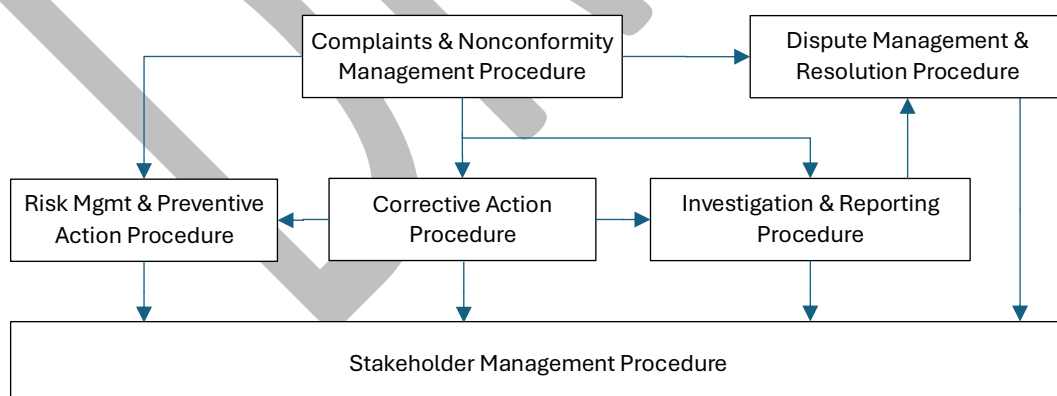
National accreditation authorities, who shall be members of the International Accreditation Forum, are responsible for validating that CBs fulfil their accreditation requirements.

MTCC has established, as part of the system that ensures the integrity and credibility of the MTCS, this Complaints Handling & Dispute Resolution Mechanism that is made up of MTCCs:

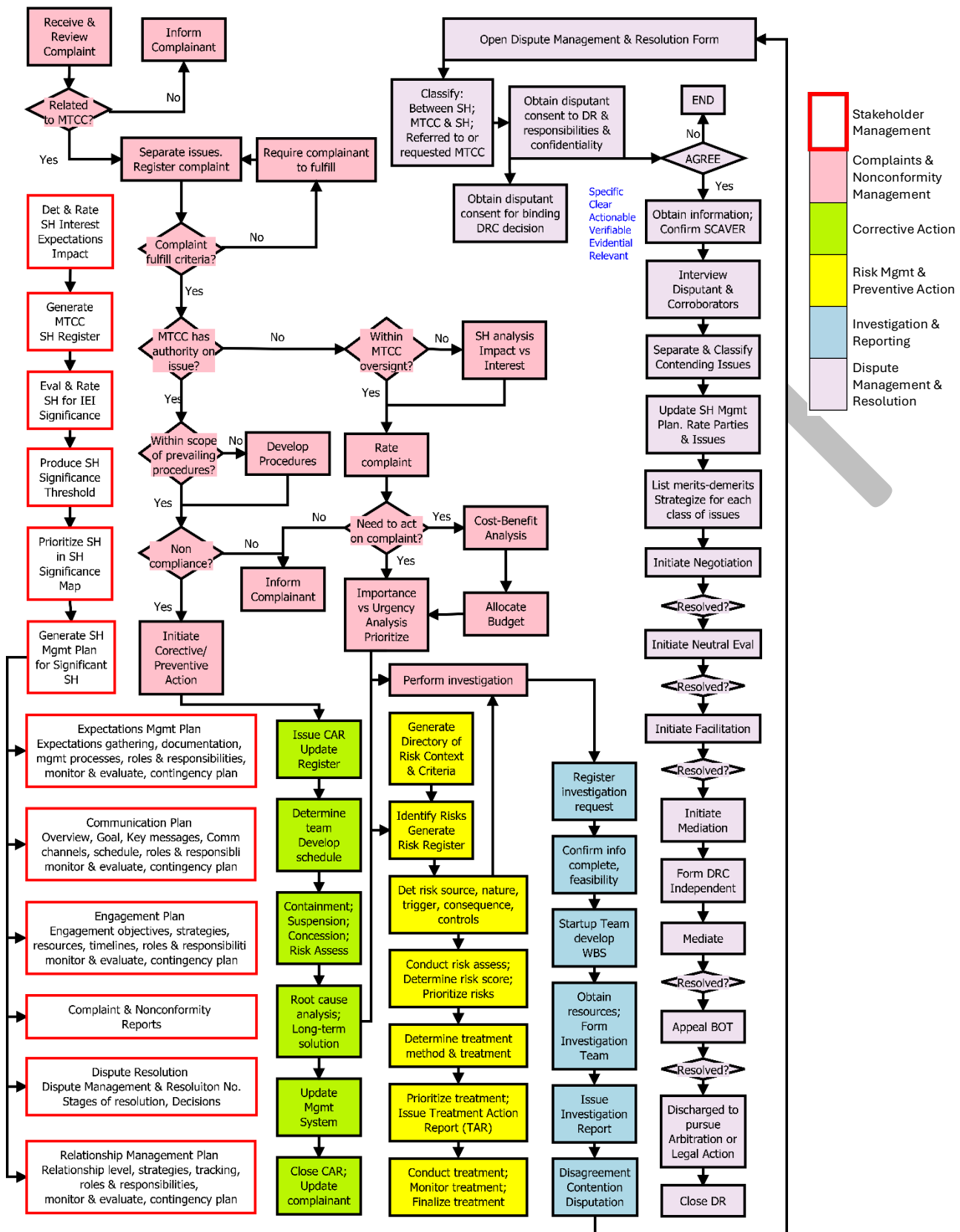
- Stakeholder Management Procedure.
- Complaints & Nonconformity Management Procedure.
- Corrective Action Procedure.
- Risk Management & Preventive Action Procedure.
- Investigation & Reporting Procedure.
- Dispute Management & Resolution Procedure.

While these procedures, as individual procedures, are components of the much larger MTCC Management System, they are compiled here as the Complaints Handling & Dispute Resolution Mechanism, made available for all stakeholders needing to refer to them.

A. Complaints Handling & Dispute Resolution Mechanism Schematic Diagram



B. Complaints Handling & Dispute Resolution Mechanism Interface Diagram



STAKEHOLDER MANAGEMENT PROCEDURE

A. POLICY

1. MTCC shall determine its stakeholders or interested parties, identify their requirements that are relevant to MTCC, the nature of their interest, expectations and impact on the operations of MTCC, and develop strategies and plans to manage them.

B. PURPOSE

1. The purpose of this procedure is to define, advise and guide the implementation of the procedure to manage stakeholders and the responsibilities to execute the procedure.

C. SCOPE

1. This procedure applies to identification of stakeholders, analysing, prioritising and mapping their significance to MTCC, and managing communications, engagement and relationships with them.
2. This procedure mentions dispute resolution, complaints management and nonconformity resolution with stakeholders, pointing to their specific procedures.

D. DEFINITIONS

1. **Stakeholder interest** refers to the concerns, priorities, and motivations that stakeholders have regarding MTCC that can influence their level of support, engagement, and expectations, which could involve understanding the stakeholder. Key components of stakeholder interest are:
 - 1.1. Objectives: What stakeholders hope to achieve or gain from their involvement.
 - 1.2. Concerns: Specific issues or areas of importance that stakeholders want to see addressed.
 - 1.3. Motivations: The underlying reasons driving stakeholders' involvement, such as financial gain, social impact, or personal satisfaction.
 - 1.4. Influence: The degree of power or influence stakeholders have over decisions and outcomes.
 - 1.5. Commitment: The level of commitment stakeholders are willing to invest in terms of time, resources, and effort.
2. **Stakeholder expectations** refer to the beliefs, needs, and desires that stakeholders have regarding MTCC, that can vary widely depending on the stakeholder's role, interests, and level of involvement. Key components of stakeholder expectations are:
 - 2.1. Requirements: Specific needs or conditions that stakeholders expect to be fulfilled.
 - 2.2. Performance: Standards or benchmarks that stakeholders expect the organization to fulfil.
 - 2.3. Communication: The frequency, transparency, and quality of information that stakeholders expect to receive.
 - 2.4. Engagement: The degree of involvement and participation stakeholders expect in decision-making processes.
 - 2.5. Outcomes: The results or benefits that stakeholders anticipate from engaging with MTCC.
3. **Stakeholder impact** is the degree of effect that stakeholders can have on MTCC, or its decision-making process, and helps to determine which stakeholders should be prioritized and how they should be engaged, that can be influenced by:
 - 3.1. Power: The ability of stakeholders to affect the outcome of MTCC operations or decision that can be through financial resources, political influence, or control over critical information.
 - 3.2. Interest: The extent to which stakeholders are affected by MTCCs performance or have a vested interest in MTCCs success.
 - 3.3. Control: How much control or decision-making authority the stakeholders have over MTCC resources.

- 3.4. Support: Stakeholders who are supportive or opposed to MTCCs objectives can impact its progress and success.
- 3.5. Communication Channels: Stakeholders with access to broad communication networks can influence public opinion and perceptions about MTCC.
- 4. Complaints & Nonconformity Secretariat
 - 4.1. An MTCC function, designated as CNS, of one or more persons responsible for the management and resolution of complaints and nonconformities.

E. ABBREVIATIONS

- 1. MTCC – Malaysian Timber Certification Council.
- 2. MTCS – Malaysian Timber Certification Scheme.
- 3. PEFC – Programme for the Endorsement of Forest Certification.
- 4. IEI – Stakeholder Interest, Expectations and Impact.
- 5. CNS – Complaints & Nonconformity Secretariat.

F. PREAMBLE

- 1. CNS shall be responsible for the control and executions of this procedure.
- 2. Stakeholder management strategy:
 - 2.1. Is a planned approach to work with stakeholders to engage and manage relationships with them, ensuring their needs and interests are considered and balanced
 - 2.2. Is to build and maintain positive relationships with stakeholders and ensuring their support and participation in MTCC's success.
 - 2.2.1. Wherever possible, a stakeholder management strategy should be backed by information giving a clear picture of the stakeholders.
- 3. By implementing effective stakeholder management strategies, MTCC can:
 - 3.1. Increase its success: By ensuring that stakeholders are informed, engaged, and supportive of MTCC.
 - 3.2. Improve decision-making: By incorporating stakeholder perspectives and insights into decision-making processes.
 - 3.3. Build stronger relationships: By fostering trust and collaboration with stakeholders.
 - 3.4. Enhance reputation: By demonstrating a commitment to stakeholder engagement and transparency.
 - 3.5. Reduce risks: By proactively identifying and addressing potential issues and conflicts.

G. PROCEDURE

- 1. CNS shall initiate stakeholder evaluation to determine stakeholders' interest, expectations and impact:
 - 1.1. Interest shall be rated in 5 levels on a scale of 1 to 5, that are:
 - 1.1.1. Unaware – stakeholders have very little knowledge of MTCC's function, role and potential impact on them; they have no concerns, priorities, or motivations related to MTCC – rated 1.
 - 1.1.2. Passive – stakeholders are aware of MTCC's role and function but have no immediate concerns or active interests; may be passively affected by MTCC's role, but they are not actively seeking to influence it – rated 2.
 - 1.1.3. Concerned – stakeholders are aware of MTCC impact, have specific concerns or reservations about MTCC, may be worried about potential negative impacts on themselves or their communities – rated 3.

- 1.1.4. Supportive – stakeholders are very aware of MTCC’s mission, generally support its goals, may have specific interests or priorities they would like MTCC to address, and they are generally aligned with the MTCC's objectives – rated 4.
- 1.1.5. Actively Engaged – stakeholders are deeply invested in MTCC, have strong interests and motivations, and they are actively seeking to influence its direction and outcomes, may be advocates, partners, or opponents, and their level of engagement is high – rated 5.
- 1.2. Expectations shall be rated in 5 levels on a scale of 1 to 5.
 - 1.2.1. Easy to fulfil, is simple and straightforward, and satisfaction is a “yes” or “no” – rated 1
 - 1.2.2. A little complex expectation, normally can be fulfilled with minimal disruptions or errors – rated 2
 - 1.2.3. Somewhat complex, not easy to fulfil, requires proactive support and communication with stakeholder – rated 3.
 - 1.2.4. Complex expectations, difficult to fulfil, requires innovation – rated 4.
 - 1.2.5. Complex expectations, more difficult to fulfil, goes beyond innovation, requires value addition to stakeholder goals and objectives, requires strategic partnership and alignment – rated 5.
- 1.3. Impact shall be rated in 5 levels on a scale of 1 to 5.
 - 1.3.1. Low impact – stakeholder decisions may lead to minor changes in daily operations, do not alter MTCCs strategy or direction – rated 1
 - 1.3.2. Some impact – can influence MTCCs overall strategy, may require shifting MTCC priorities, require careful consideration of stakeholders expectations – rated 2.
 - 1.3.3. Reputational impact – stakeholder decisions can significantly impact MTCC’s reputation and cause legal challenges, negative publicity, can have a ripple effect on MTCC's branding, stakeholder relationships, and financial performance – rated 3.
 - 1.3.4. Financial impact – stakeholder can directly impact MTCC’s financial performance, affecting MTCC’s revenue, profitability, and overall financial health – rated 4.
 - 1.3.5. Existential Threat – stakeholder decisions can pose an existential threat to MTCC, like regulatory changes, withdrawal of licences, endorsements or major legal challenges, putting MTCC’s very survival at risk and require proactive and strategic responses – rated 5.
2. CNS shall generate the MTCC Stakeholders Register (Form).
 - 2.1. The Register shall have the following sections:
 - 2.1.1. No.: A sequential number that can be used to identify the stakeholders across different procedures of the MTCC Management System. For example, SH1-00-00-00A, where:
 - a. SH – show that this is a stakeholder number.
 - b. 1-00-00-00 – a stakeholder group and sequential number given to a particular stakeholder.
 - c. A – an alphabet identifying an individual in that group. If no individual is being particularly identified in that group, the stakeholder number shall be without the last alphabet.
 - 2.1.2. Name (Group): The name of the stakeholder group.
 - 2.1.3. Name (Individual): The name of the individual in that group who has significant impact on MTCC and whose IEI is different from the group.

- 2.1.4. Interest: A brief description of the stakeholder interest. Detailed description shall be in the Stakeholder Management Plan (Form).
- 2.1.5. Expectation: A brief description of the stakeholder expectations. Detailed description shall be in the Stakeholder Management Plan (Form).
- 2.1.6. Impact: A brief description of the stakeholder impact. Detailed description shall be in the Stakeholder Management Plan (Form).
- 2.1.7. Significance: The overall importance of the stakeholder, shows priority, calculated by Interest x Expectation x Impact.
- 2.1.8. Triggers: A brief description of what events could trigger positive and negative responses from the stakeholder. Detailed description shall be in the Stakeholder Management Plan (Form).
- 2.1.9. Date Reviewed: The dates when the different plans are reviewed.
- 2.2. CNS shall, in the Register, evaluate and rate the stakeholders for their IEI Significance.
 - 2.2.1. The Register will list all group and individual stakeholders, with summary IEs and the calculated IEI Significance.
 - 2.2.2. The Stakeholder Management Plan will contain details of the IEI from which the IEI Significance value shall be determined.
 - a. For example, for the Ministry of Plantation & Commodities:
 - i. Interest – MTCC directly reports to this ministry that is heavily invested in the successful performance of MTCC. Rated 5.
 - ii. Expectations – the Ministry expectations are . Rated 5
 - iii. Impact – The decisions of this ministry will have high impacts on MTCC. Rated 5
 - iv. IEI Significance – $5 \times 5 \times 5 = 125$
- 2.3. Within each of these groups, there could be individuals whose interest, expectations and impact may be different. If there are such individuals in a group, that individual shall also be identified within that group and the IEI evaluated.
3. CNS shall produce a Stakeholder Significance Threshold table (Appendix) to identify when action must be taken to improve the stakeholder management.
 - 3.1. CNS shall classify those stakeholders whose impact is rated 4 or 5 as Significant Stakeholders.
 - 3.2. CNS shall develop a Stakeholder Management Plan (Form) for the Significant Stakeholders.
4. CNS shall prioritize the stakeholders according to their Significance in the Register and record them in the Stakeholder Significance Map (Form) which is a matrix chart:
 - 4.1. The y-axis shall have 5 classes for impact rating.
 - 4.2. The x-axis shall have 5 classes for rating expectation and interest. The expectation-interest value shall be calculated as follows:
 - 4.2.1. [(expectation rating between 1 to 5) x (interest rating between 1 to 5)] divided by 5
 - 4.3. There will be 25 matrix cells, and stakeholders shall be recorded in the appropriate cell.
 - 4.4. The Significance Map shows the relative importance of stakeholders in terms of interests, expectations, impact and significance.
5. CNS shall have, for each Significant Stakeholder in the Register, a Stakeholder Management Plan (Form), that shall contain details of all information in the Register, in addition to other details of this procedure.
 - 5.1. CNS may develop Stakeholder Management Plans (Form) for those stakeholders who are not classified as Significant.
6. **Expectations Management Plan:** CNS shall develop, for each Significant Stakeholder, an Expectations Management Plan, that shall be part of the Stakeholder Management Plan (Form):

- 6.1. For those stakeholders whose impact is rated 3 or less, CNS shall estimate and anticipate their needs and expectations; there is no need to obtain this information by analysis or directly contacting them.
- 6.2. For those stakeholders whose impact can be significant or is rated more than 3, CNS shall gather their needs and expectations and attach the records to the Stakeholder Management Plan (Form).
- 6.3. CNS should first confirm that the stakeholders understand the role of MTCC. CNS could do this by providing explanatory media on the MTCC website and requesting the stakeholders to review those media. This will prepare the stakeholders better for the expectation gathering interviews or surveys.
- 6.4. Expectation Gathering may be done by:
 - 6.4.1. Interviews: Allow for in-depth exploration of needs and concerns.
 - a. One-on-one meetings: Engage in direct conversations with key stakeholders.
 - b. Focus groups: Conduct group discussions to gather diverse perspectives.
 - i. The Stakeholder Interview Guide (Form) shall be used to guide the interviewer conduct the interview.
 - c. CNS shall ensure that the interviewers:
 - i. Listen actively and attentively.
 - ii. Take detailed notes.
 - iii. Ask clarifying questions.
 - iv. Summarize and confirm understanding with stakeholders.
 - v. Build rapport and trust with stakeholders.
 - 6.4.2. Surveys and Questionnaires: Efficiently collect data from many stakeholders.
 - a. Online or paper-based: Gather data from a wider range of stakeholders.
 - b. Standardized or customized: Tailor questions to specific stakeholders.
 - i. The Stakeholder Survey Questionnaire (Online Form) shall be used for conducting online surveys.
 - 6.4.3. Workshops and Brainstorming Sessions: Fosters creativity and encourages active participation.
 - a. Collaborative environment: Facilitate open discussions and idea sharing.
 - b. Visual tools: Utilize mind maps, diagrams, and other visual aids.
 - i. The MTCC Brainstorming Guide (Appendix) shall be used to organize and conduct the brainstorming sessions.
 - 6.4.4. Observation: Gain insights into unspoken needs and preferences.
 - a. Directly observe stakeholder behaviour: Understand their daily routines and challenges.
 - i. The Stakeholder Observation & Analysis Form (Form) shall be used to understand stakeholder expectations.
 - b. Analyse existing documents: Review reports, policies, and other relevant materials.
 - 6.4.5. Feedback Mechanisms: Continuously gather feedback and improve MTCC performance.
 - a. Suggestion Scheme: Encourage anonymous feedback.
 - i. MTCC Suggestion Forms (Form) and Suggestion Boxes shall be made available within the MTCC office for suggestions to be made.
 - ii. MTCC Suggestion Forms shall also be made available on the MTCC website for stakeholders to make suggestions.

- b. Feedback forms: Collect structured feedback after project milestones.
 - i. Feedback shall be made part of project or process management record forms.
 - c. Stakeholder service channels: Locations or platforms where stakeholders request services.
 - i. Stakeholder feedback may also be obtained at MTCC booths at trade fairs and other events.
 - 6.4.6. Communication Channels: Facilitate ongoing dialogue and address concerns promptly.
 - a. Regular meetings and updates: Maintain open lines of communication.
 - i. The MTCC Meeting Record Template (Form) shall be used to record the meeting. Records of meeting shall be classified as:
 - ii. Statement – this is information presented at the meeting, comments made, opinions.
 - iii. Proposal – a clear plan of action.
 - iv. Decision – a clear instruction of what to do next.
 - v. Task – a defined work with objectives to achieve.
 - b. MTCC website or intranet: Share information and gather feedback.
 - i. The MTCC website shall have a feedback form for visitors to provide their expectations, views and feedback.
 - c. Social media: Engage with stakeholders on relevant platforms.
 - i. CNS shall compile and post stakeholder feedback on social media to the MTCC website feedback form.
- 6.5. Expectation Documentation:
 - 6.5.1. Central Repository:
 - a. CNS shall create a Central Repository (e.g., shared document, database) to store and track stakeholder expectations.
 - 6.5.2. Clear and Concise Documentation:
 - a. CNS shall ensure expectations are documented clearly, concisely, and accurately.
- 6.6. Expectation Management Processes
 - 6.6.1. Regular Reviews:
 - a. CNS shall include the next date of Stakeholder Expectation review and gathering in the Stakeholder Management Plan.
 - 6.6.2. Issue Resolution:
 - a. CNS shall determine those expectations that need to be resolved, and plan and execute the necessary actions to resolve those expectations.
- 6.7. Roles and Responsibilities
 - 6.7.1. Assign Roles:
 - a. CNS shall assign the roles and responsibilities of individuals involved in stakeholder expectations management.
 - b. Since many persons in MTCC may have stakeholder related information, the use of the Central Repository to place and manage this information and the Stakeholder Management Plan is useful.
- 6.8. Monitoring and Evaluation
 - 6.8.1. CNS shall:
 - a. Regularly monitor the effectiveness of Stakeholder Expectation Management Plan.
 - b. Collect feedback on the expectations management process from those managing the stakeholder.

- 6.8.2. Adjust the Stakeholder Expectations Management Plan as needed based on feedback and changing circumstances.
- 6.9. Contingency Planning
 - 6.9.1. CNS shall:
 - a. Identify potential challenges related to stakeholder expectations (e.g., conflicting expectations, unmet expectations).
 - b. Develop strategies to address and mitigate potential challenges.
- 7. **Communication Plan:** CNS shall develop, for each Significant Stakeholder, a Communication Plan, that shall be part of the Stakeholder Management Plan (Form), with the following information:
 - 7.1. Overview – a brief overview of the stakeholder contacts, their preferences and communication method.
 - 7.2. Goal – specific, measurable, achievable, relevant, and time-bound (SMART) goals for communication. For example:
 - 7.2.1. Increase awareness of MTCC with stakeholders.
 - 7.2.2. Build support for MTCC among decision-makers.
 - 7.2.3. Address concerns and mitigate potential risks.
 - 7.2.4. Gather feedback and input from stakeholders.
 - 7.3. Key Messages to stakeholder – keep stakeholders informed and engaged about relevant issues, MTCC progress, challenges, decisions:
 - 7.3.1. Core messages that will be communicated to stakeholders.
 - 7.3.2. Tailored messaging for different stakeholder groups.
 - 7.3.3. Clear and concise language that resonates with the target audience.
 - 7.4. Communication Channels – selection of appropriate communication channels based on stakeholder preferences and communication objectives. For example:
 - 7.4.1. Meetings and workshops.
 - 7.4.2. Presentations and webinars.
 - 7.4.3. Newsletters and reports.
 - 7.4.4. Social media and online platforms.
 - 7.4.5. Surveys and feedback mechanisms.
 - 7.4.6. Emails.
 - 7.5. Communication Schedule:
 - 7.5.1. Timeline for key communication activities.
 - 7.5.2. Frequency and timing of communication touchpoints.
 - 7.5.3. Allocation of resources and budget.
 - 7.6. Roles and Responsibilities:
 - 7.6.1. Assignment of roles and responsibilities for communication activities.
 - 7.6.2. Identification of communication champions within MTCC.
 - 7.6.3. Establishment of communication protocols and procedures.
 - 7.7. Monitoring and Evaluation:
 - 7.7.1. Metrics for tracking the effectiveness of communication efforts.
 - 7.7.2. Regular monitoring and evaluation of communication activities.
 - 7.7.3. Analysis of feedback and adjustments to the plan as needed.
 - 7.8. Contingency Planning:
 - 7.8.1. Strategies for addressing potential communication challenges or crises.
 - 7.8.2. Identification of potential risks and mitigation strategies.
 - 7.8.3. Plan for adapting to changing circumstances.

8. **Engagement Plan:** CNS shall develop, for each Significant Stakeholder, an Engagement Plan, that shall be part of the Stakeholder Management Plan (Form) with the following information:
- 8.1. Engagement Objectives:
- 8.1.1. Define clear, specific, measurable, achievable, relevant, and time-bound (SMART) objectives for stakeholder engagement, for example:
 - a. Increase awareness of MTCC with stakeholder.
 - b. Build support for MTCC among decision-makers.
 - c. Address concerns and mitigate potential risks.
 - d. Gather feedback and input from stakeholders.
- 8.2. Engagement Strategies:
- 8.2.1. Tailored Approaches: Develop specific engagement strategies for each stakeholder group based on their characteristics and needs.
 - 8.2.2. Communication Channels: The type of channel discussed above is part of engagement strategies.
 - 8.2.3. Activities: Outline specific engagement activities, such as consultations, focus groups, and information sessions.
 - a. Actively involve stakeholders in the decision-making process and MTCC activities.
 - b. Organize workshops, committees, or advisory boards to foster collaboration.
 - c. Use a variety of engagement methods, such as meetings, workshops, surveys, and social media, to involve stakeholders in MTCC.
- 8.3. Resources and Timeline:
- 8.3.1. Allocate resources: Determine the budget, personnel, and other resources required for stakeholder engagement activities.
 - 8.3.2. Develop a timeline: Create a schedule for all engagement activities, including deadlines and milestones.
- 8.4. Roles and Responsibilities:
- 8.4.1. Assign roles: Clearly define the roles and responsibilities of individuals involved in stakeholder engagement.
 - 8.4.2. Establish communication protocols: Ensure clear and consistent communication among team members.
- 8.5. Monitoring and Evaluation:
- 8.5.1. Track progress: Regularly monitor the progress of stakeholder engagement activities and adjust strategies as needed.
 - 8.5.2. Gather feedback: Collect feedback from stakeholders, track engagement metrics, and conduct regular reviews on the engagement process.
 - 8.5.3. Evaluate effectiveness: Assess the effectiveness of engagement activities in achieving the desired outcomes.
- 8.6. Contingency Planning:
- 8.6.1. Address potential challenges: Identify potential risks and develop mitigation strategies.
 - 8.6.2. Adapt to changing circumstances: Be prepared to adjust the engagement plan as needed based on feedback and changing circumstances.
9. **Complaint & Nonconformity:** CNS shall develop a Complaint & Nonconformity Management Plan, that shall be part of the Stakeholder Management Plan (Form) with the following information:
- 9.1. Complaints and nonconformity reports of stakeholders shall be managed according to the Complaint & Nonconformity Management Procedure (Procedure).
 - 9.2. In the Stakeholder Management Plan, CNS shall record:

- 9.2.1. CNR Number – the Complaints & Nonconformity Report Number.
 - 9.2.2. COMREP – confirm the completeness of the complaint or nonconformity information from stakeholder.
 - 9.2.3. CAR Team – confirm if the corrective action team has been formed.
 - 9.2.4. Issue – confirm if it is a procedure Issue or oversight Issue or stakeholder Interest.
 - 9.2.5. Complainant Rating – confirm if the complainant has been rated.
10. **Dispute Resolution:** CNS shall develop a Dispute Management & Resolution Plan (Form), when there is a dispute with a stakeholder, that shall be part of the Stakeholder Management Plan (Form) with the following information:
- 10.1. Disputes shall be managed according to the Dispute Management & Resolution Procedure (Procedure)
 - 10.2. In the Stakeholder Management Plan, CNS shall record:
 - 10.2.1. Dispute Management & Resolution number.
 - 10.2.2. Stages of dispute resolution – Negotiations, Neutral evaluation, Facilitation, Mediation, DRC decision, BOT decision.
11. **Relationship Management:** CNS shall develop, for each Significant Stakeholder, a Relationship Development Plan that shall be part of the Stakeholder Management Plan (Form) with the following information:
- 11.1. Desired Relationship Level, depending on their Stakeholder Significance.
 - 11.1.1. Level 1 – Amicable relations – getting along well, no disputes, mutual respect and support.
 - 11.1.2. Level 2 – Good relations – supportive of one another – getting along well, avoid disputes, mutual respect.
 - 11.1.3. Level 3 – Strong relations – sharing resources, partnership.
 - 11.2. Identify areas of opportunities to improve stakeholder relationships.
 - 11.3. Roles and Responsibilities – clearly define roles and responsibilities of individuals involved in stakeholder relationship development.
 - 11.3.1. Relationship Managers: Identify and train "relationship managers" who are responsible for building and maintaining relationships with specific stakeholder groups.
 - 11.4. Determine the Relationship Building Strategies for that stakeholder.
 - 11.4.1. Develop specific relationship-building strategies for each stakeholder group based on their characteristics and needs.
 - 11.4.2. Engagement – plan and execute regular engagement activities (e.g., meetings, workshops, social events) to build rapport and trust.
 - 11.4.3. Collaboration – seek opportunities for collaboration and co-creation with stakeholders.
 - a. Involve stakeholders in decision-making processes whenever possible.
 - b. Develop trust - be transparent and honest in interactions.
 - c. Deliver on promises and commitments.
 - d. Address stakeholder concerns and issues promptly and effectively.
 - e. Foster positive relationships with stakeholders based on trust, respect, and mutual benefit, by investing in relationship-building activities to increase support, reduce conflict, improve communications
 - 11.5. Relationship Tracking – track and document key interactions and milestones in stakeholder relationships, such as:
 - 11.5.1. Personal Information: Basic details like names, birthdays, and contact information.

- 11.5.2. Interaction History: Records of important communications, meetings, and interactions.
- 11.5.3. Notes and Observations: Personal notes about preferences, interests, and important details.
- 11.5.4. Relationship Status: Current state of the relationship, such as service provider, partner in projects, certificate holder, etc.
- 11.5.5. Important Dates: Anniversaries, milestones, and other significant dates.
- 11.5.6. Activities and Engagements: Shared activities, events, and plans.
- 11.5.7. Goals and Expectations: Future plans, mutual goals, and expectations from the relationship.
- 11.6. Monitoring and Evaluation – regularly monitor the progress of relationship-building efforts.
 - 11.6.1. Develop metrics to measure the success of stakeholder relationships (e.g., stakeholder satisfaction surveys, project success indicators).
 - 11.6.2. Track key interactions and milestones in stakeholder relationships; this could be part of the Engagement Plan, Expectations Gathering Plan, Dispute Resolution and Complaint Management plans.
 - 11.6.3. Be prepared to adjust the plan as needed based on feedback and changing circumstances.
- 11.7. Relationship Review – conduct regular review of stakeholder relationships to address potential issues.
- 11.8. Contingency Planning – identify potential challenges to stakeholder relationships (e.g., conflicts, changing priorities, negative events) and develop strategies to address and mitigate potential challenges.
- 12. CNS shall evaluate and improve stakeholder management strategies.
 - 12.1. Evaluate the effectiveness of stakeholder management strategies and continuously improve them.
 - 12.2. Regularly assess the effectiveness of MTCC stakeholder management strategies and adjust as needed.
 - 12.3. Gather feedback from stakeholders on their level of satisfaction and engagement.
 - 12.4. Use feedback, lessons learned, and best practices to refine and enhance stakeholder management processes.

H. POSTAMBLE

- 1. This procedure leads to:
 - 1.1. Complaints & Nonconformity Management Procedure
 - 1.2. Dispute Management & Resolution Procedure.

I. RECORDS

TITLE	FORM NO.	RETAINED BY	MIN. RET. PERIOD	REMARKS
1. MTCC Stakeholders Register				
2. Stakeholder Significance Map				
3. Stakeholder Management Plan				
4. Stakeholder Interview Guide				

TITLE	FORM NO.	RETAINED BY	MIN. RET. PERIOD	REMARKS
5. Stakeholder Survey Questionnaire				
6. Stakeholder Observation & Analysis				
7. MTCC Suggestion Form				
8. MTCC Meeting Record				

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STAKEHOLDER SIGNIFICANCE THRESHOLDS			
Interest	Expectation	Impact	Significance
1	1	1	
2	2	2	
3	3	3	
4	4	4	64
5	5	5	125

	Threshold point
--	-----------------

MTCC STAKEHOLDER REGISTER													
Number	Name (Group)	Name (Individual)	Int	Exp	Imp	IEI Sig	Trigger	Date Reviewed					
								Comm Plan	Engage Plan	Expect Plan	Comp & NC Mgn	Dispute Resolve	Relation Mgmt

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MTCC STAKEHOLDER SIGNIFICANCE MAP						
Impact	5					
	4					
	3					
	2					
	1					
		1	2	3	4	5
		(Interest x Expectations)/5				

	Malaysian Timber Certification Council	Stakeholder Management Plan	SH	Sequence Group Number	Individual Number
			Updated On _____		
SH Group: _____		SH Individual: _____			

Interest			
Expectation			
Impact			
Significance			
Triggers			
Expectations Management Plan		Date for Next Expectation Gathering	
Expectation Gathering			
Expectation Documentation			
Expectation Management Process			
Roles & Responsibilities			
Monitoring & Evaluation			
Contingency Planning			
Communication Plan			
Overview			
Goal			
Key Messages to Stakeholder			
Communication Channels			
Communication Schedule			
Roles and Responsibilities			

Monitoring and Evaluation										
Contingency Planning										
Engagement Plan										
Engagement Objectives										
Engagement Strategies										
Resources & Timeline										
Roles & Responsibilities										
Monitoring & Evaluation										
Contingency Planning										
Complaints & Nonconformity Management Plan										
CNR Number										
COMREP										
CAR Team										
Issue										
Complainant Rating										
Dispute Management & Resolution Plan										
	Potential		Current		Claimant		Respondent		DMR No.	
Define Dispute	Encourage early identification and resolution of disputes.									
Stakeholder Dispute Rating	Severity Distribution Info Quality Info Reliability Noise									
Resolution Stage	Negotiation			Neutral Eval			Facilitation		Mediation	
Mediators										
DR Outcome										
Lessons Learned										
Relationship Development										
Relationship Level										

Improvement Opportunities	
Relationship Building Strategies	
Relationship Tracking	
Relationship Monitor, Review	
Contingency Planning	

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STAKEHOLDER INTERVIEW GUIDE

Understanding Stakeholder Needs and Expectations: Key Questions

Before interview or survey, ask stakeholders to review MTCC role and mandate on website.

A Goals and Objectives of Stakeholder:
1. What is the primary goal of your organization?
2. What are the objectives to achieve the goals of your organization?
3. Why is MTCC important for your organization to achieve your objectives or goals?
4. What specific challenges or pain points are you currently facing that is related to MTCC?
5. What are the specific outcomes you hope to get from MTCC to achieve your primary goal and objectives?
6. What are your top priorities for MTCC?
7. Are there any existing MTCC processes that you'd like to improve?
8. How involved with MTCC would you like to be to achieve your goal and objectives?
9. How do you envision collaboration or communication working between us?
10. Are there any constraints (e.g., time, budget, resources) that we should be aware of?
11. Are there any risks or concerns you foresee?
12. Are there other stakeholders whose input we should consider?
13. Who else might be impacted by MTCC and how; share your views about other stakeholder needs?
B Stakeholder Roles and Responsibilities:
1. What is your role in MTCC or regarding MTCC?
2. How will MTCC's role impact your day-to-day work?
3. How will your day-to-day work impact MTCC?
4. What are your specific responsibilities for the success of MTCC?
5. How can you best support MTCC's effectiveness?
C Stakeholder Needs and Expectations:
1. Who are the beneficiaries of your organization?
2. How do they benefit from your organization?
3. What are their expectations from your organization?
4. What do you expect from MTCC to deliver the benefits to them and satisfy their expectations?
5. How do you add value to what MTCC does to deliver the benefits to your beneficiaries?

6. How will MTCC benefit them?
7. What are your needs and expectations from MTCC?
8. How will MTCC's role benefit your organization?
9. What are their pain points or challenges that this project aims to address?
D MTCC Scope and Constraints:
1. What are the key deliverables to you from MTCC?
2. Is MTCC delivering this in a timely manner to you?
3. In your opinion, is MTCC constrained by budget and resource limitations to satisfy your expectations?
4. What in your opinion are the potential risks or challenges for MTCC to satisfy your expectations?
E Communication and Collaboration:
1. How do you prefer to receive updates from MTCC?
2. How often would you like to meet or communicate with MTCC?
3. What is the best way to reach you with questions or concerns?
4. How can MTCC ensure effective communication and collaboration with you?
F Success Measurement:
1. Can you quantify your expectations so that MTCC can plan to achieve them?
2. If you can quantify, can it be measured or rated?
3. If you cannot quantify, can you point to an organization that MTCC should emulate?
4. In your opinion, what key performance indicators (KPIs) should MTCC track?
5. Are there specific metrics or KPIs you'd like us to track?
6. In what ways has MTCC failed you?
7. What criteria will you use to determine if MTCC has met its objectives?
8. How will you evaluate whether if MTCC has met your expectations?
G Additional Considerations:
1. Are there any specific concerns or objections you have about MTCC?
2. What are your expectations for the MTCC team?
3. What resources can you provide to support MTCC's success?
H Future Considerations
1. Do you anticipate any changes in your needs or expectations from MTCC in the course of time (in future)?
2. What opportunities do you see for future growth or expansion for MTCC?

I Closing the Conversation
1. Is there anything else you think we should know to better understand your perspective?
2. Do you have any questions for us about MTCC?

Interviewer Evaluation:

Listen actively and attentively.	
Take detailed notes.	
Ask clarifying questions.	
Summarize and confirm understanding with stakeholders.	
Build rapport and trust with stakeholders.	

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STAKEHOLDER SURVEY QUESTIONNAIRE

Stakeholder survey shall be conducted online. The MTCC website shall facilitate this. The questions are the same as in the interview questionnaire, as follows:

A Goals and Objectives of Stakeholder:

1. What is the primary goal of your organization?
2. What are the objectives to achieve the goals of your organization?
3. Why is MTCC important for your organization to achieve your objectives or goals?
4. What specific challenges or pain points are you currently facing that is related to MTCC?
5. What are the specific outcomes you hope to get from MTCC to achieve your primary goal and objectives?
6. What are your top priorities for MTCC?
7. Are there any existing MTCC processes that you'd like to improve?
8. How involved with MTCC would you like to be to achieve your goal and objectives?
9. How do you envision collaboration or communication working between us?
10. Are there any constraints (e.g., time, budget, resources) that we should be aware of?
11. Are there any risks or concerns you foresee?
12. Are there other stakeholders whose input we should consider?
13. Who else might be impacted by MTCC and how; share your views about other stakeholder needs?

B Stakeholder Roles and Responsibilities:

1. What is your role in MTCC or regarding MTCC?
2. How will MTCC's role impact your day-to-day work?
3. How will your day-to-day work impact MTCC?
4. What are your specific responsibilities for the success of MTCC?
5. How can you best support MTCC's effectiveness?

C Stakeholder Needs and Expectations:

1. Who are the beneficiaries of your organization?
2. How do they benefit from your organization?
3. What are their expectations from your organization?
4. What do you expect from MTCC to deliver the benefits to them and satisfy their expectations?
5. How do you add value to what MTCC does to deliver the benefits to your beneficiaries?
6. How will MTCC benefit them?
7. What are your needs and expectations from MTCC?
8. How will MTCC's role benefit your organization?
9. What are their pain points or challenges that this project aims to address?

D MTCC Scope and Constraints:

1. What are the key deliverables to you from MTCC?
2. Is MTCC delivering this in a timely manner to you?
3. In your opinion, is MTCC constrained by budget and resource limitations to satisfy your expectations?
4. What in your opinion are the potential risks or challenges for MTCC to satisfy your expectations?

E Communication and Collaboration:

1. How do you prefer to receive updates from MTCC?
2. How often would you like to meet or communicate with MTCC?
3. What is the best way to reach you with questions or concerns?
4. How can MTCC ensure effective communication and collaboration with you?

F Success Measurement:

1. Can you quantify your expectations so that MTCC can plan to achieve them?
2. If you can quantify, can it be measured or rated?
3. If you cannot quantify, can you point to an organization that MTCC should emulate?
4. In your opinion, what key performance indicators (KPIs) should MTCC track?
5. Are there specific metrics or KPIs you'd like us to track?
6. In what ways has MTCC failed you?
7. What criteria will you use to determine if MTCC has met its objectives?
8. How will you evaluate whether if MTCC has met your expectations?

G Additional Considerations:

1. Are there any specific concerns or objections you have about MTCC?
2. What are your expectations for the MTCC team?
3. What resources can you provide to support MTCC's success?

H Future Considerations

1. Do you anticipate any changes in your needs or expectations from MTCC in the course of time (in future)?
2. What opportunities do you see for future growth or expansion for MTCC?

I Closing the Conversation

1. Is there anything else you think we should know to better understand your perspective?
2. Do you have any questions for us about MTCC?

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MTCC BRAINSTORMING GUIDE

Brainstorming is a technique for generating the greatest number of ideas for a project.

The following is a guide on how it should be applied.

The Brainstorming Leader can adapt this guide to the requirements of the brainstorming session.

Its Principle

- Brainstorming is an intentional process of generating the largest number of ideas on an issue.
- Ideas are allowed to flow freely; however silly they may sound (did not all originally great ideas sound silly).
- All possible and impossible solutions are encouraged.
- Brainstorming is a proven and effective methods for generating the maximum number of solutions to problems.

How Do We Do It

- We must first identify what is the problem we want to solve.
- We must then involve the people who can suggest ideas to solve that problem. We must get them together.
- Distribute an agenda before the meeting to those people, for them to think about the upcoming brainstorming.
- They could do some groundwork to make themselves more familiar with the problem and form some ideas.
- Select a place that is conducive to help ideas flow.
- Have a white board on which the ideas can be recorded visibly for all to see.
- We must then gather them to help suggest those ideas towards solving that problem.
- Define what kind of ideas we want.
- Do we want to know the causes of a problem such as where is it done, how is it done, when, why and so on.
- Or do we want solutions such as how do we prevent it, detect it, eliminate it and so on.

Brainstorming Guidelines

- To encourage creative thinking, guidelines have to be followed.
- We must ensure that nobody's thought process is subdued.

Brainstorming Steps

1. *Appoint a leader to conduct entire brainstorming session*
 - The leader and all members should continuously remind themselves;
 - to address the problem in hand (and not bring in new problems),
 - to encourage ideas from all,
 - to ensure all ideas are recorded,
 - everybody has a change to participate
 - and nobody has withdrawn.
2. *Everyone in the group should be encouraged to contribute.*
 - Do not allow domination by anyone or few persons.
 - In sequence or rotation, everyone is asked to suggest an idea.
3. *Only one idea is suggested at a time.*
 - Otherwise somebody will give a list of ideas and feel run out for any further ideas.
 - If a member has nothing to say when his turn comes, he responds by saying "PASS".
 - When somebody says pass too often, the leader should encourage that person.
 - Encouragement ideas are given below.
4. *Allow exaggeration and humour.*
 - It is stimulating.
 - Try to get as many ideas as possible.
5. *No criticism should be made of any suggestion.*
 - It is good to have unusual ideas.
 - It helps us to look at things differently.
 - It also stimulates further flow of thoughts.
6. *Suggestions are not restricted to factors present in ones own work area.*
 - Sometimes great ideas can come from someone in another area.
 - But the intentions should be noble.
 - The session should not be used to point out faults in other areas.
7. *Concentrate on how to eliminate the trouble*
 - Do not justify on why the trouble has occurred.
8. *Do not compliment ideas.*
 - This will divert our focus to those ideas and reduce our flexibility.

9. *Do not question or discuss the ideas.*
 - The whole session could be diverted away from the issues in hand.
 - Also leaving an idea alone for some time will help it to take form and meaning.
 - A useless sounding idea will turn out to have great meaning when viewed in relation to other ideas.
 - Questioning it immediately, will stifle any such growth.
10. *Welcome modification and improvement of ideas.*
 - It will help the ideas to evolve to new concepts.
11. *Record all ideas, however trivial they may sound.*
 - It is best to write them on a whiteboard for all to see.
12. *Copy down all recordings on to paper/computer for further follow up.*

Systematic Recording

- Recordings can be made under any heading as appropriate to the issue being brainstormed, such as Competency, Resources, Operations, Logistics
- This procedure helps to systematically generate creative thought.
- The ideas should come in random under any of the headings - so as not to stifle the thought process - the leader will stratify them.
- Sometimes we will place an idea under a different heading.
- If we are not aware then do not bother at first.
- Do not spend any effort thinking about where an idea belongs.
- All members present should understand this, so as not to waste efforts on placement of ideas at first.
- We can sort that out later.

Encouraging Further Ideas

- When the group seems to be running out of ideas, the leader should encourage further ideas.
- "Asking the following kinds of questions will help:
 - What is done; what else might be done; what else could be done; what should be done.
 - Why is it done; why is it done this way and not another; why not do it another way.
 - Where is it done; why is it done there; where else might it be done; where else could it be done; where should it be done; where should it not be done.
 - When is it done; why is it done then; can it be done at another time or sequence; when should it be done; when could it be done; when might it be done.
 - Who does it; why does he do it; who else might do it; who else could do it; who should do it; who else might want to do it.
 - How is it done; why is it done that way; how else might it be done; how else should it be done.
- Encourage the imagination process.
- Discuss pictures of situations from which ideas can be drawn from.
- Relate whatever experiences or observations, even irrelevant, for ideas to come about.

Evaluation

- After the brainstorming, you can either continue to evaluate the ideas, or take a rest and come back another time.
 - Sometimes brainstorming is tiring.
 - And taking a rest helps to view the ideas calmly and in various angles.
- Examine all the ideas critically.
 - Discuss on them, in the process of which further ideas will come about.
- Vote on the ideas next.
 - The participants vote on each idea.
 - You are allowed to vote more than once.
 - Only supporting votes are taken.
 - The leader writes the supporting votes against the idea.
- Number the ideas in the order of the votes received.
 - Then collectively decide on how many ideas you want to address.
 - And pick that number of ideas according to the votes.
- Now we have identified the important ideas.
 - If there are too many, all of which will take a long time to implement, vote on those ideas.
 - This time limit the number of votes a person gets to one or two.
 - And rank the ideas according to this.
 - We now have the priority in which to solve the problem.

What Brainstorming Is Not

- It is not a coffee break for us to take a rest.
 - It is an organised step to improve our environment.
- It is not a single line of thought.

- It cannot be made to fit into any particular plan.
- It brings about the widest view to a situation.

When To Use Brainstorming

- We use it:
 - When there is a lack of experience in a situation.
 - When there is not a given procedure or method to solve a problem.
 - When the problem involves many areas that a few individuals will not be able to identify all possibilities.

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STAKEHOLDER OBSERVATION & ANALYSIS	
Body Language and Nonverbal Cues:	
1. Posture: Is the stakeholder leaning forward, indicating engagement, or leaning back, suggesting disinterest?	
2. Eye Contact: Do they maintain eye contact, showing confidence and attentiveness, or avoid it, signalling discomfort or dishonesty?	
3. Facial Expressions: Pay attention to micro-expressions like smiles, frowns, or furrowed brows, which can reveal underlying emotions.	
4. Gestures: Observe hand movements, head nods, or other gestures that can emphasize points or reveal underlying thoughts.	
Verbal Cues:	
5. Tone of Voice: Is the Stakeholder's voice calm and assertive, or hesitant and uncertain? Changes in tone can indicate shifts in mood or underlying emotions.	
6. Word Choice: Pay attention to the specific words and phrases used. Do they use strong, confident language, or do they hedge their statements?	
7. Pace of Speech: A rapid pace might suggest eagerness or nervousness, while a slow pace could indicate careful consideration or reluctance.	
8. Pauses and Hesitations: Unintentional pauses or hesitations can reveal uncertainty or a need for time to think.	
Listening Actively:	
9. Focus on Understanding: Does the stakeholder truly listen to what you are saying, not just waiting for their turn to speak.	
10. Ask Clarifying Questions: If something is unclear, does the stakeholder ask for clarification, or does not care.	
11. Summarize & Paraphrase: Restate what you've heard to confirm your understanding; does stakeholder acknowledge or does not care.	
Emotional Intelligence:	
12. Recognize and Manage Emotions: Be aware of your own emotions and how they might be influencing your judgment. What is the stakeholder emotion.	
13. Empathy: Do you show empathy to the stakeholder; does the stakeholder empathize.	
14. Emotional Regulation: Maintain composure and avoid getting defensive or emotional, even in challenging situations; does the stakeholder do the same.	
Overall Behaviour:	
15. Assertiveness: Does the Stakeholder assert their needs and interests confidently, or do they tend to be passive or aggressive?	
16. Flexibility: Are they open to compromise and finding mutually beneficial solutions, or are they rigid and unwilling to budge?	

17. Honesty and Integrity: Do their words and actions align? Are they trustworthy and transparent in their discussions with you?	
What insights are gained by these observations:	

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	SUGGESTION FORM		No: _____ Date: _____
IT IS: _____			
SHOULD BE: _____			
Prep By: Sign: Date:	Appr By: Sign: Date:	Rec By: Sign: Date:	
<u>ACTION REPORT</u>			
Action Reported By: _____ Name _____ Sign _____ Date _____			
Form No: _____			

Meeting Record

Date:

Place:

Participants

Distribute to

CONFIDENTIAL INTERNAL

DOCUMENT

Status -	S = Statement	T = Task	D = Decision	P = Proposal
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[illegible]

COMPLAINTS & NONCONFORMITY MANAGEMENT PROCEDURE

A. POLICY

1. MTCC shall clearly define the various types of complaints related to its operations, management system, stakeholders and mission, and establish procedures, instructions and controls to address, manage and resolve them appropriately.
2. In the interest of continuous improvement, market feedback, and improved services:
 - 2.1. MTCC appreciates that complaints and appeals provide opportunities for improving its services and being accountable.
 - 2.2. MTCC invites stakeholders to raise issues of suspect activities, nonconformities, noncompliance,

B. PURPOSE

1. To define the responsibilities and actions to be taken when:
 - 1.1. Dissatisfactions or complaints are received about MTCC and its mission and activities for which there are no established procedures.
 - 1.2. Nonconformities to established procedures and/or policies are detected, reported or complained (on) by interested parties.
 - 1.3. Issues related to organizations that MTCC has oversight responsibilities are received or detected.
 - 1.4. Issues, not directly under the purview of MTCC, are brought to the attention of MTCC by interested parties.

C. SCOPE

1. This procedure applies to the:
 - 1.1. Receipt of complaints or nonconformity reports.
 - 1.2. Their review, verification, classification and rating for further action, including rating of complainants.
 - 1.3. Dissemination of the complaints or nonconformity reports according to their classification and rating for resolution to relevant parties.
 - 1.4. Feedback to the complainant, reporter or relevant parties on the outcome of the resolution.
2. This procedure does not apply to the resolution activities of the issues, including disputes, corrective actions, preventive actions or risk management, which shall be addressed in their respective procedures.

D. DEFINITIONS

1. Complaints & Nonconformity Secretariat
 - 1.1. An MTCC function, designated as CNS, of one or more persons responsible for the management and resolution of complaints and nonconformities.
2. Nonconformity
 - 2.1. Non-fulfilment of an established requirement of MTCC including procedures, processes and instructions.
 - 2.1.1. Established will mean defining clearly without ambiguity.
3. Reporter of Nonconformity
 - 3.1. The person, entity or organization that reports on the part of MTCC Management System that has been breached.
4. Complaint

- 4.1. A statement of dissatisfaction made to MTCC, related, directly or indirectly, to the services that MTCC provides, where a response is expected.
5. Complaints via Instant Messaging App
 - 5.1. These are complaints or issues brought to the attention of MTCC, usually by non-institutional persons, such as lay persons, that do not have sufficient details for MTCC to act upon.
6. Social Media
 - 6.1. These are online platforms and tools, such as Facebook, Twitter, Instagram, LinkedIn, TikTok, that enable users to create, share, and interact with content and connect with MTCC. These platforms facilitate communication, collaboration, and content sharing through various formats, such as text, images, videos, and audio.
7. Complainant
 - 7.1. The person, entity or organization making a complaint.

E. ABBREVIATIONS

1. MTCC – Malaysian Timber Certification Council.
2. CNS – Complaints & Nonconformity Secretariat.
3. COMREP – Complaints and nonconformity reports.
4. CNIDR – Complaint, Nonconformity, Investigation & Dispute Register.

F. PREAMBLE

1. CNS shall be responsible for the control and execution of this procedure.
2. Complaints or nonconformity reports (COMREP) that CNS receives can originate from the following, or any other sources:
 - 2.1. Reports and complaints from stakeholders that could be related to:
 - 2.1.1. Complaints against accredited certification bodies or their accreditation bodies.
 - 2.1.2. Complaints against certified entities.
 - 2.1.3. Complaints against other entities.
 - 2.2. Detection of noncompliance to the MTCC management system, when not identified during MTCC Internal Audits.
 - 2.3. Discovered or raised during meetings within MTCC or attended by MTCC.
 - 2.4. Analysis of records.
 - 2.5. Errors, confusion or misunderstandings when performing tasks.
 - 2.6. When solving problems or issues.

G. PROCEDURE

1. CNS shall receive all COMREP regarding nonconformities, issues, or matters that could cause nonconformities or complaints.
 - 1.1. If the matter is not related to MTCC or its expertise, CNS shall feedback, clarifying why it does not involve MTCC.
 - 1.1.1. If further information is provided to show that the matter is related to MTCC, then the date of this explanation shall be the date of receipt of COMREP.
 - 1.2. COMREP can be from:
 - 1.2.1. Internal stakeholders, such as MTCC staff, members of the Board of Trustees, who shall submit using the MTCC Complaint & Nonconformity Report form (Form).
 - 1.2.2. External stakeholders, such as the public, NGOs shall submit in any of the following manners:

- a. On the MTCC website – the menu shall provide page(s) for stakeholder to lodge their COMREP.
 - b. By email, messaging or hardcopy to the CNS – contact details to CNS shall be provided on the MTCC website.
 - i. Instructions shall be provided on the MTCC website on the details required, according to the MTCC Complaint & Nonconformity Report Requirements (refer below), for MTCC to take action.
 - c. When necessary, CNS shall convert different formats of external stakeholders' information to the MTCC Complaint & Nonconformity Report format.
- 1.3. COMREP should fulfil the following MTCC Complaint & Nonconformity Report Requirements for further action:
 - 1.3.1. Relevant – the issue must be relevant to MTCC, its operations, vision and mission.
 - 1.3.2. Specific – the issue it refers to must be specific to that matter. It cannot be general, referring to different matters without focus that may cause confusion or misunderstanding.
 - 1.3.3. Clear – the COMREP statements must be clearly articulated. The flow of thoughts into the COMREP must be correctly sequenced for the audience to have a clear understanding of the issues without confusion.
 - 1.3.4. Evidential – there must be evidence of the issue being complained about.
 - 1.3.5. Verifiable – it should be possible to verify the COMREP and the evidence.
 - 1.3.6. Actionable – it should be possible for MTCC to act on the COMREP; the complainant should avoid bringing up issues that had happened in the distant past or that cannot be acted upon because of legal limitations, the environment and nature, social sensitivity, government policies or other valid reasons.
 - a. CNS shall return the COMREP, if necessary, for clarification of these requirements.
- 1.4. COMREP via social media or Instant Messaging applications (e.g. SMS, WhatsApp, Telegram), that are relevant to MTCC but do not have sufficient details for MTCC action, will need to be verified and validated. CNS shall seek to obtain further contact details, like email or physical address of complainant, to be able to request further information on the matter.
 - 1.4.1. If these contact details are available, CNS will obtain further information according to the MTCC Complaint & Nonconformity Report Requirements.
 - 1.4.2. If the contact details are not available, CNS shall evaluate the risks involved in the matter being reported or complained about according to the MTCC Risk Management procedure.
 - a. If it is not possible to do risk assessments because of a lack of information, CNS will discard the COMREP.
 - 1.4.3. If the Risk Score does not exceed the value for action to be taken according to the MTCC Risk Management procedure, the complainant or reporter shall be informed as such.
 - 1.4.4. If the Risk Score exceeds the value for action to be taken, CNS will initiate investigations to obtain the details required in the MTCC Complaint & Nonconformity Report Requirements for further action to be taken as per this procedure.
2. CNS shall review the COMREP.
 - 2.1. If it involves more than one issue, CNS shall separate the issues ensuring they are clear and understandable.
3. CNS shall register the COMREP, giving each issue a registration number, in a file referred to as Complaint, Nonconformity, Investigation & Dispute Register (CNIDR) (Form).

- 3.1. The Registration Number shall be alphanumeric, indicating the following:
 - 3.1.1. CNR – identification as Complaint & Nonconformity Report
 - 3.1.2. A sequence number for each MTCC Complaint & Nonconformity Report and Investigation Report.
 - 3.1.3. Type of COMREP that could be:
 - a. NC – Non-compliance to established procedures or instructions.
 - b. NP – No policies, procedures, instructions or guidelines on the issue.
 - c. OS – Oversight of the issue by MTCC.
 - d. SI – Stakeholder interest in issue.
 - 3.1.4. The complainant or reporter.
 - a. Since the names of external complainants or reporters can be of different alphanumeric lengths, CNS shall create their designations within 6 characters.
 - b. Internal complainants or reporters shall be identified by their MTCC designations.
 - 3.1.5. The MTCC function responsible to investigate and resolve the issues.
 - a. Unless it is a matter that can be quickly and easily resolved, this MTCC function shall form a Team to attend to the matter.
 - 3.1.6. Date COMREP is received.
- 3.2. The CNIDR shall:
 - 3.2.1. Have a sequence number for each COMREP (or Request for Investigation form – Form).
 - 3.2.2. Show COMREP Receipt date and the COMREP Registration Number.
 - 3.2.3. Show, together with the date, the COMREP status, if it has been:
 - a. Resolved.
 - b. Returned to complainant or reporter for clarification.
 - c. Discarded as irrelevant and information to complainant or reporter has been given.
4. CNS shall classify the COMREP according to:
 - 4.1. Issues over which MTCC has authority and control, which are of two types:
 - 4.1.1. Noncompliance to established policies, guidelines, procedures or instructions.
 - 4.1.2. No policies, procedures, instructions or guidelines on the issue are available and it will be beneficial to establish the procedures.
 - 4.2. Issues over which MTCC has no authority or control, which can be of two types:
 - 4.2.1. MTCC has oversight, such as matters related to certificate holders, or coding errors in the issuance of removal pass.
 - 4.2.2. Stakeholder interest in the complaint or nonconformity Issue, such as investigating uncertified forest areas.
5. CNS shall process the COMREP according to its classification, as follows:
 - 5.1. Noncompliance issues – these are issues that resulted from not complying to the requirements of the management system.
 - 5.1.1. CNS shall initiate the Corrective Action Procedure (Procedure).
 - 5.1.2. CNS shall monitor the Corrective Action Procedure using the CNIDR (Form).
 - 5.1.3. CNS shall inform or update the complainant of the actions taken and the outcomes.
 - 5.2. No Policies or Guidelines issues – these are issues which are relevant to MTCC, but for which there are no requirements in the MTCC Management System.
 - 5.2.1. CNS shall request for the necessary policies and procedures to be included in the MTCC Management System according to the Business Processes & Management Procedure (MP 001).
 - a. Since this might take time, CNS shall keep the complainant or reporter updated.

- b. If corrective action is required urgently, CNS shall proceed to initiate the Corrective Action Procedure, without waiting for the policies and procedures to be established.
 - 5.2.2. CNS shall confirm if corrective actions need to be taken after the policies and procedures have been established.
 - a. If required, CNS shall initiate the Corrective Action Procedure and monitor the resolution progress using the CNIDR (Form).
 - b. If not required, CNS shall inform the complainant or reporter.
- 5.3. MTCC has Oversight issues – these are issues over which MTCC has oversight without direct control, such as matters relating to Certificate holders’ policies, Issuance of Timber Licences, Laws and Regulations, Forest clearing activities.
 - 5.3.1. CNS shall rate the COMREP and determine if MTCC needs to act on the matter and its priority. The criteria for COMREP rating are as follows:
 - a. Severity – how severe is the issue and its level of impact on a scale of 1 - 5.
 - b. Distribution – if the issue is widely spread across different areas, persons and processes on a scale of 1 – 5.
 - c. Risk scales for both severity and distribution are:
 - i. Low risk shall be rated 1
 - ii. Medium low risk shall be rated 2
 - iii. Medium risk shall be rated 3
 - iv. Medium high risk shall be rated 4
 - v. High risk shall be rated 5
 - d. Risk Score – this is a measure of the risk to MTCC from the COMREP issues. It is the product of severity and distribution (severity x distribution) that shall range from 1 to 25:
 - e. Value – this denotes how useful and beneficial will resolving the COMREP be to MTCC.
 - i. Low value COMREPs shall be rated 1 – 5.
 - ii. Medium-Low value COMREPs shall be rated 6 – 10.
 - iii. Medium value COMREPs shall be rated 11 – 15.
 - iv. Medium-High value COMREPs shall be rated 16 – 20.
 - v. High value COMREPs shall be rated 21 – 25.
 - f. Rating – COMREP rate is the product of the risk score and value (risk-score x value).
 - 5.3.2. CNS shall determine the importance and urgency of the COMREP as follows:
 - a. Value reflects the importance of the issue.
 - b. Risk Score reflects the urgency to resolve the issue.
 - c. The COMREP rating of Value x Risk Score reflects the Importance and Urgency of the issue.
 - i. The higher the rating, the earlier must the issue be resolved.
 - 5.3.3. CNS shall initiate investigations on the issue according to the Investigation & Reporting Procedure.
 - a. The investigation report shall include decisions made on the COMREP.
 - 5.3.4. CNS shall issue the Investigation Report and update the complainant and other relevant parties.
 - 5.3.5. CNS shall include any follow-up or monitoring requirements into the CNIDR (Form).
- 5.4. Stakeholder Interest issues – these are complaint or nonconformity issues reported by stakeholders over which MTCC has no oversight or control.

- 5.4.1. CNS shall initiate a Stakeholder Analysis, according to the Stakeholder Management Procedure (Procedure). to determine the stakeholder interest, expectations and impact on MTCC.
 - a. The rated values for Stakeholder Interest, Expectations, Impact and Significance (IEI Significance) shall be taken from the MTCC Stakeholder Register (Form).
- 5.4.2. CNS shall determine, from the Stakeholder Significance and the Stakeholder Significance Threshold (Appendix), if MTCC will proceed with the resolution of the COMREP.
 - a. CNS shall inform the complainant or reporter if it is decided not to continue with the COMREP.
- 5.4.3. CNS shall rate the COMREP for its severity, distribution, risk score, value and (Value x Risk Score) to determine the Importance and Urgency of the issue.
 - a. This rating is similar to the rating done for “MTCC has Oversight issues.”
 - b. CNS shall decide, based on Stakeholder Significance and COMREP Rating, if MTCC will proceed with the resolution of the COMREP, and inform the complainant or reporter if it is decided not to continue with the COMREP.
- 5.4.4. CNS shall determine if MTCC has the necessary resources available to resolve the issues.
 - a. If there is a need to obtain additional resources, CNS shall estimate the budget required and apply accordingly.
 - b. If the budget is not available or insufficient, CNS shall seek to involve and obtain the support of government agencies, GLCs, NGOs, or organizations to minimize additional budget needs.
 - i. If such resources can be obtained, CNS shall proceed to act on the COMREP.
 - ii. If such resources cannot be obtained, CNS will inform the complainant that MTCC is not able to pursue the resolution of the issue.
- 5.4.5. CNS shall keep the stakeholder updated on the progress on the COMREP.
- 5.4.6. CNS shall initiate investigations on the issue according to the Investigation & Reporting Procedure (Procedure).
 - a. The investigation report shall include decisions made on the COMREP.
- 5.4.7. CNS shall issue the investigation report and update the stakeholder and other relevant parties.
- 5.4.8. CNS may issue a CAR should the findings of the Investigation & Reporting recommend it.
- 5.4.9. CNS shall include any follow-up or monitoring requirements into the CNIDR (Form).
6. CNS shall keep the complainant updated of the progress and outcome of the resolution actions being taken by MTCC.
7. CNS shall rate the complainants for the following benchmarks:
 - 7.1. Stakeholder rating – as determined by the stakeholder rating above, ranging from 1 to 25.
 - 7.2. Value of the COMREP – as determined by the value analysis above, ranging from 1 to 25.
 - 7.3. Timeliness of the COMREP – was the COMREP made on a timely manner or was it made later than necessary.
 - 7.3.1. COMREP was made long after the event, when the damage has become significant – rated 1 to 5.
 - 7.3.2. COMREP was delayed from being lodged – rated 6 to 10.
 - 7.3.3. COMREP was made without any sense of urgency, taking its normal procedural time – rated 11 to 15.

- 7.3.4. COMREP was expedited – rated 16 to 20.
- 7.3.5. COMREP was made immediately after the event, and it was possible to contain it from spreading – rated 21 to 25.
- 7.4. Requirements – how well the COMREP met the MTCC Complaints Requirements criteria.
 - 7.4.1. None or 1 of the Complaints Requirements were satisfactory – rated from 1 – 5.
 - 7.4.2. 2 to 3 of the Complaints Requirements were satisfactory - rated from 6 – 10.
 - 7.4.3. 4 of the Complaints Requirements were satisfactory - rated from 11 – 15.
 - 7.4.4. 5 of the Complaints Requirements were satisfactory - rated from 16 – 20.
 - 7.4.5. All 6 Complaints Requirements were satisfactory – rated from 21 – 25.
- 7.5. Reliability – how reliable is the information provided by the complainant, based on past and current complaints.
 - 7.5.1. Unreliable – Lacks authenticity, trustworthiness, and competency; history of invalid information – rated 1 to 5.
 - 7.5.2. Sometimes reliable – Significant doubts; provided many invalid information in the past – rated 6 – 10.
 - 7.5.3. Fairly reliable – Some doubts; provided a mix of valid and invalid information in the past – rated 11 – 15.
 - 7.5.4. Usually reliable – Minor doubts; history of mostly valid information – rated 16 – 20.
 - 7.5.5. Reliable – No doubt about the source's authenticity or competency – rated 21 – 25.
- 7.6. Noise vs Value Rating – how often and intensive is the complaint referral compared to the value of the complaint.
 - 7.6.1. Low Value – High Noise: rated as 1 – 2.
 - 7.6.2. Medium Value – High Noise: rated as 3
 - 7.6.3. High Value – High Noise: rated as 4 – 5.
 - 7.6.4. Low Value – Medium Noise: rated as 4 - 7
 - 7.6.5. Medium Value – Medium Noise: rated as 8 – 11.
 - 7.6.6. High Value – Medium Noise: rated as 12 – 15.
 - 7.6.7. Low Value – Low Noise: rated as 8 – 13.
 - 7.6.8. Medium Value – Low Noise: rated as 14 – 19.
 - 7.6.9. High Value – Low Noise: rated as 20 – 25.
- 8. CNS shall weight the stakeholder benchmarks as follows:
 - 8.1. Reliability of the COMREP weight shall be 0.29
 - 8.2. Value of the COMREP weight shall be 0.26
 - 8.3. Stakeholder rating (significance) weight shall be 0.24
 - 8.4. Timeliness of the COMREP weight shall be 0.12
 - 8.5. Requirements of the COMREP weight shall be 0.06
 - 8.6. Noise vs Value Rating weight shall be 0.03
 - 8.6.1. The total of the weighted benchmark ratings shall be the overall rating of the complainant or stakeholder.
- 9. CNS shall inform complainants or stakeholder of their rating with its details for them to improve on the quality of COMREP they bring to MTCC.
- 10. CNS shall analyse the accumulated MTCC Nonconformity Reports (Form) on an ongoing basis to detect any trends, patterns or frequency of occurrence to identify more holistic improvements to the MTCC Management System.
- 11. **Disagreement, Contention & Disputation:** CNS shall initiate a repeat of this procedure using the same registration and report number, should the complainant or stakeholder:
 - 11.1. Reject the findings of the investigations, and

- 11.2. Requests for further investigations, and
- 11.3. Provides such reliable information to justify further investigations, and
- 11.4. Can satisfy CNS why this information was not provided during the early stages of this procedure.
- 12. CNS shall initiate the Dispute Management & Resolution Procedure should the complainant or stakeholder:
 - 12.1. Not be satisfied with the outcome of the complaint, or
 - 12.2. Reject the findings of the investigations, and
 - 12.3. Requests for resolving the rejection through the Dispute Management & Resolution Procedure, and
 - 12.4. Can demonstrate that the Dispute Management & Resolution Procedure is a better way to resolve the issue.
- 13. The timeline for this procedure shall be as follows:

H. POSTAMBLE

- 1. This procedure leads to:
 - 1.1. MTCC Risk Management procedure, where COMREP risks are evaluated, including risks identified in Short Messaging Complaints.
 - 1.2. Corrective Action Procedure, when the MTCC Nonconformity Report has been escalated to corrective action for noncompliance to the MTCC Management System.
 - 1.3. Business Processes & Management Procedure (MP001), where policies and procedures to be included in the MTCC Management System shall be developed.
 - 1.4. Investigation & Reporting Procedure, where COMREPS that do not qualify for Corrective Actions are investigated and reported upon.
 - 1.5. Dispute Management & Resolution Procedure, where the recommendations or stakeholder requests could be dispute resolution activities.

I. RECORDS

TITLE	FORM NO.	RETAINED BY	MIN. RET. PERIOD	REMARKS
1. Original copies of complaints and nonconformity reports				
2. Complaint & Nonconformity Report				
3. Complaint-Nonconformity Register				

HOW THE COMPLAINANT RATING VALUES WERE DERIVED

Stakeholder Significance Rating

Stakeholder Significance is (Interest) x (Expectations) x (Impact)

There are 5 ratings for each of them. Stakeholder Significance is therefore $(1 - 5) \times (1 - 5) \times (1 - 5) = 1 - 125$

All other parameters for Complainant Rating have ratings ranging from 1 – 25

Therefore, to have a common baseline, Stakeholder Significance is divided by 5. This is also done in the Stakeholder Significance Map.

Complainant Rating Criteria Rank

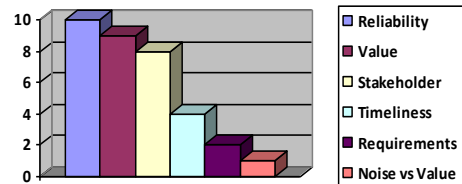
	Stakeholder	Value	Timeliness	Requirements	Reliability	Noise vs Value	WEIGHT	RANKING
Stakeholder		0/1	1/0	1/0	0/1	1/0	3/15	3
Value			1/0	1/0	0/1	1/0	4/15	2
Timeliness				1/0	0/1	1/0	2/15	4
Requirements					0/1	1/0	1/15	5
Reliability						1/0	5/15	1
Noise vs Value							0/15	6

	Stakeholder	Value	Timeliness	Requirements	Reliability	Noise vs Value	WEIGHT	RANKING
Stakeholder		1/0	1/0	1/0	0/1	0/1	3/15	2
Value			1/0	1/0	0/1	1/0	3/15	3
Timeliness				1/0	0/1	1/0	2/15	4
Requirements					0/1	1/0	1/15	5
Reliability						1/0	5/15	1
Noise vs Value							1/15	6

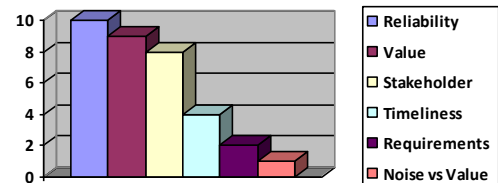
Weighting the Criteria

The criteria weight, from 1 – 10, is from 'rule of thumb'

	Weight		Proportion	
Reliability	10	$10/34 =$	0.2942	0.29
Value	9	$9/34 =$	0.2647	0.26
Stakeholder	8	$8/34 =$	0.2353	0.24
Timeliness	4	$4/34 =$	0.1176	0.12
Requirements	2	$2/34 =$	0.0588	0.06
Noise vs Value	1	$1/34 =$	0.0294	0.03
			1	1



	Weight		Proportion	
Reliability		$10/34 =$	0.2942	0.29
Stakeholder		$9/34 =$	0.2647	0.26
Value		$8/34 =$	0.2353	0.24
Timeliness		$4/34 =$	0.1176	0.12
Requirements		$2/34 =$	0.0588	0.06
Noise vs Value	1	$1/34 =$	0.0294	0.03
			1	1



Noise vs Value Rating

	Low Noise	Medium Noise	High Noise		Low Noise	Medium Noise	High Noise
Low value complaints shall be rated 1 to 5	8	4	1		8 - 13	4 - 7	1 - 2
Medium-Low value complaints shall be rated 6 – 10.	12	7	2				
Medium value complaints shall be rated 11 – 15.	16	9	3		14 - 19	8 - 11	3
Medium-High value complaints shall be rated 16 – 20.	20	12	4				
High value complaints shall be rated 21 to 25.	25	15	5		20 - 25	12 - 15	4 - 5

FORM (Procedure Number. Form Number)

	Malaysian Timber Certification Council	Complaint & Nonconformity Report	CNR	Seq #	NC, NP, OS, SI	Compla inant	Team Head
Recd. From: _____		Mode of Delivery	Platform	Telephone	eMail	Hardcopy	
Receipt Date: _____		In-Person	Meet Online	Other			
Related to MTCC		Yes ☐ No ☐	Return to sender		COMREP Converted to this format? Yes ☐ No ☐		
COMREP Statement Attach more details							
COMREP Reqmt		Yes ☐ No ☐	Reason		INSTANT MESSAGING COMREP		
Relevant		☐	☐		Can obtain further details Yes ☐ No ☐		
Specific		☐	☐		LR	MLR	MR
Clear		☐	☐		MHR	HR	Severity
Evidential		☐	☐		1	2	3
Verifiable		☐	☐		4	5	Distribution
Actionable		☐	☐		1	2	3
Request Information		☐	☐		4	5	Risk Score:
CAR Investigate Team		Discard ☐ Create COMREP ☐					
Procedure Available		CAR No: _____					
No Procedure		Alteration Sugg & Notice: _____ Procedure Done: Yes ☐ No ☐ CAR Required: Yes ☐ No ☐					
Oversight Issue		LR	MLR	MR	MHR	HR	Risk Score
Stakeholder Interest		1	2	3	4	5	Value
Interest		☐	Resource requirement:				
Expectations		☐	Resource Available: Yes ☐ No ☐				
Impact		☐	Budget Available: Yes ☐ No ☐				
SH Significance		☐	Collaborators:				
Investigation Priority: _____		Investigation Request: Yes ☐ No ☐		Issue CAR ☐ or DMR ☐		after investigation: Yes ☐ No ☐	
Complainant Rating		Rate	Wt	Wt. Rate			
Stakeholder Significance		/5	0.24	1.3			
Reliability		☐	0.29	☐			
Value		☐	0.26	☐			
Timeliness		☐	0.12	☐			
Requirements		☐	0.06	☐			
Noise vs Value		☐	0.03	☐			
TOTAL		☐					
Taken from MTCC Stakeholder Register/5 – ranging 1 - 25							
Unreliable		Sometimes		Fairly		Usually	
1-5		6-10		11-15		16-20	
LV		MLV		MV		MHV	
1-5		6-10		11-15		16-20	
Long after		No urgency		Immediately		☐	
1-5		6-10		11-15		16-20	
0 - 1		2 - 3		4		5	
1-5		6-10		11-15		16-20	
HN		MN		LN		☐	
LV		MV		HV		LV	
1-2		3		4-5		4-7	
☐		☐		☐		☐	

Form No:

FORM (Procedure Number. Form Number)

COMPLAINT NONCONFORMITY INVESTIGATION DISPUTE REGISTER								
Sequence No.	COMREP – RIN Receipt Date	COMREP – RIN – DMR Registration No.	CAR No.	Investigation Report No.	Dispute Mgmt & Resol Report No.	Status: Resolved, Returned, Discarded, Escalated	Status Date	Inform Complainant-Disputant of Progress

DRAFT

CORRECTIVE ACTION PROCEDURE

A. POLICY

1. MTCC shall ensure that any nonconformity to its policies and procedures are identified, controlled and corrected, to prevent any further unintended consequences, and these actions shall be appropriate to the nature and effect of the nonconformity.

B. PURPOSE

1. To define the responsibilities and actions to be taken when nonconformities to established procedures and/or policies are detected, reported or complained (on) by interested parties.

C. SCOPE

1. This procedure applies to the:
 - 1.1. Receipt of Corrective Action form on nonconformity reports.
 - 1.2. Containing and controlling related issues to prevent the nonconformity from escalating.
 - 1.3. Suspending, when necessary, procedures and activities until nonconformities are resolved.
 - 1.4. Obtaining consent from affected parties, if necessary, to continue operations until correction is successful.
 - 1.5. Review, analyse and determine the causes of the nonconformity, and if similar nonconformities can occur elsewhere in MTCC.
 - 1.6. Determine the causes of the nonconformity.
 - 1.7. Determine the most appropriate corrective and preventive actions to resolve and prevent recurrence of the nonconformity.
 - 1.8. Determine the risks involved, when there are significant risks.
 - 1.9. Implement the needed corrective and preventive actions (appropriate to the impact of the nonconformity) and resolve any consequences
 - 1.10. Review the effectiveness of the actions taken.
 - 1.11. Informing parties affected by the nonconformity in MTCC.
 - 1.12. Update the Risk Register and the management systems, if necessary.
2. This procedure does not apply to the resolution activities of the issues, which shall be addressed in their respective and specific procedures.

D. DEFINITIONS

1. Nonconformity
 - 1.1. Failure to comply with established requirements of MTCC including procedures, processes and instructions.
 - 1.1.1. Established will mean defining clearly without ambiguity.

E. ABBREVIATIONS

1. CAR - Corrective Action Report.
2. CEO - Chief Executive Officer
3. CNS - Complaints & Nonconformity Secretariat.
4. COC - A function in MTCC primarily responsible for the Certificate of Custody
5. COM - A function in MTCC primarily responsible for communication.
6. MTCC - Malaysian Timber Certification Council.
7. RCA - the person or function responsible for the resolution of a specific nonconformity.

F. PREAMBLE

1. CNS shall be responsible for the control and execution of this procedure.
2. CNS has received reports of nonconformities to MTCCs established procedures according to the Complaints and Nonconformities Procedure and has initiated corrective actions according to that procedure.
 - 2.1. This nonconformity report has been in the form of the MTCC Complaints & Nonconformity Report (Form).
 - 2.2. Nonconformities could have been identified from:
 - 2.2.1. Reports and complaints from stakeholders.
 - 2.2.2. Detection of noncompliance to the MTCC management system, when not identified during MTCC Internal Audits.
 - 2.2.3. Issues discovered or raised during meetings within MTCC.
 - 2.2.4. Analysis of records.
 - 2.2.5. Errors, confusion or misunderstandings when performing tasks.
 - 2.2.6. When solving problems or issues.
 - 2.3. Where the actions to correct require complex investigations and/or making formal reports to stakeholders, then the Investigation & Reporting Procedure (Procedure), and not this Corrective Action Procedure, shall be applied.

G. PROCEDURE

1. CNS shall determine who shall be responsible for the resolution of the nonconformities.
 - 1.1. This responsible person or function shall be designated as RCA (responsible for corrective action)
2. CNS shall prepare and issue the Corrective Action Report (CAR) (Form) to the RCA together with any other materials, including evidence and prior correspondences, for corrective actions.
 - 2.1. CARs shall:
 - 2.1.1. Have a unique identification number.
 - a. CAR - identification as Corrective Action Report.
 - b. The Complaint & Nonconformity Report number – but the CNR is replaced by CAR.
 - 2.1.2. Identify the RCA and Team members.
 - 2.1.3. Reference the MTCC Complaints & Nonconformity Report.
 - 2.1.4. Reference any Job Sheet or Gantt Chart issued.
 - 2.1.5. Confirm the details of the MTCC Complaints & Nonconformity Report.
 - 2.1.6. Reference any Risk Assessment to the Risk Register.
 - 2.1.7. Detail the actions taken regarding the nonconformity and the outcomes.
 - 2.1.8. Have details of any progressive feedback to CNS.
 - 2.1.9. Have details of the resolution of the nonconformity.
 - 2.1.10. Have details of any containment action, suspension action or concession action.
 - 2.1.11. Reference to any preventive action being taken.
 - 2.2. CNS shall, for monitoring and follow up purposes, record the CAR in the Complaint-Nonconformity Investigation Register (Form).
3. CNS shall, together with RCA:
 - 3.1. Determine the team to resolve the nonconformity.
 - 3.1.1. The team can be a single person or a group of persons.
 - 3.2. Develop the work schedule for the resolution of the CAR. The work schedule shall be:
 - 3.2.1. Embedded in the CAR, or,
 - 3.2.2. Attached in the form of a Job Sheet (Form) or Gantt Chart (Form).

- 3.2.3. Appropriate to the magnitude of nonconformity and risks involved.
- 3.3. Determine, if required, progressive feedback of the nonconformity resolution to CNS.
- 3.4. Retain a copy of the CAR with RCA acknowledging receipt of CAR.
- 4. The RCA Team shall:
 - 4.1. Request for any further details from CNS.
 - 4.1.1. If the nonconformity is from MTCC functions, RCA can liaise with them directly but must update CNS of the liaison.
 - 4.2. Take the following actions if necessary:
 - 4.2.1. Perform immediate action to contain and control the nonconformity such that the nonconformity does not spread to other areas.
 - a. Such immediate actions shall be confirmed as effective by the RCA Team.
 - 4.2.2. Suspend relevant parts of MTCC operations until nonconformities are resolved.
 - a. Affected parties shall be informed of the suspension and kept updated of recommencement.
 - 4.2.3. Obtaining consent (concession) from relevant parties to continue operations despite the nonconformity.
 - a. This interim period when operations continue despite the nonconformity shall be agreed with the authorized parties, and any work continued shall be identified as temporary concessions.
 - 4.2.4. Perform and report risk assessment and management of corrective actions that carry significant risks, according to the Risk Management Procedure.
 - 4.2.5. Record the actions taken in the relevant sections of the CAR.
 - 4.3. Investigate and analyse the causes of non-conformities and record the results of investigations in the CAR or attach such results to the CAR.
 - 4.4. Carry out actions to implement a long-term solution to permanently eliminate the nonconformity.
 - 4.4.1. While carrying out the investigations and long-term solutions, the Team shall analyse all necessary processes, reports, documents and results to ensure that any potential nonconformity is eliminated.
 - 4.4.2. Should the Team appoint other persons to implement the corrective actions, the Team shall be responsible to follow-up and ensure the effectiveness of the implementations.
 - 4.4.3. The success of the long-term solution shall be confirmed after a length of time (review period) that shall reflect its effectiveness.
 - a. CNS shall ensure that, wherever possible, the persons responsible to confirm the effectiveness of the corrective actions are also not responsible to carry out the corrective actions.
 - 4.5. Update CNS on a regular basis, if required, of the actions being taken and progress in resolving the nonconformity.
 - 4.6. Carry out changes to the MTCC Management System when the corrective actions require changes to the current methods of operations; such changes shall ensure the overall integrity of the MTCC Management System.
 - 4.7. Attach, wherever applicable, the investigation results, working papers, reports, and other applicable documents to the CAR.
- 5. CNS shall review and close the CAR.
 - 5.1. Where there are external stakeholders involved, CNS may inform them of the outcome of the CAR and actions taken.

- 5.1.1. CNS may update stakeholders on an ongoing basis, especially where the nonconformity resolution time is lengthy.
6. CNS shall analyse the accumulated CARs on an ongoing basis to detect any trends, patterns or frequency of occurrence to identify more holistic improvements to the MTCC Management System.
- 6.1. Such analysis shall be reported to the CEO and at Management Review Meetings.
7. **Disagreement, Contention & Disputation:** CNS shall initiate a repeat of this procedure using the same registration and report number, should the complainant or stakeholder:
- 7.1. Reject the findings of the investigations, and
- 7.2. Requests for further investigations, and
- 7.3. Provides such reliable information to justify further investigations, and
- 7.4. Can satisfy CNS why this information was not provided during the early stages of this procedure.
8. CNS shall initiate the Dispute Management & Resolution Procedure should the complainant or stakeholder:
- 8.1. Reject the findings of the investigations, and
- 8.2. Requests for resolving the rejection through the Dispute Management & Resolution Procedure, and
- 8.3. Can satisfy CNS why the issue cannot be resolved without resorting to the Dispute Management & Resolution Procedure.
9. The timeline for this procedure shall be as follows:

H. POSTAMBLE

1. Where the actions to correct require complex investigations and/or making formal reports to stakeholders, then the Investigation & Reporting Procedure shall be applied.

I. RECORDS

TITLE	FORM NO.	RETAINED BY	MIN. RET. PERIOD	REMARKS
1. Corrective Action Report				
2. Job Sheet				
3. Corrective Action Report Gantt Chart				

CNS Close		Confirm All Activities & Remarks

Sign	Date	_____
Form		

DRAFT

 Malaysian Timber Certification Council	JOB SHEET				ST	Obj.	Goal	Expectations	Resp.
Strategy									
Objective									
Goal									
Task									
Responsibility of: (Weight 100%)	L1		L2		L3				
Support & Wt. (not more than 50%)									
Inform (Wt. 5%)									
Resources (Special)									
Benchmark/ Expectations									
Due Date									
Rows to be filled by task owner:									
Achievement									
Variation (from expectations)									
Achievement Rate									
Prepare By (Resp)		Reviewed By (Sup)			Rated By				

GANTT CHART

Gantt Charts can be generated in MS Excel

Below is a hardcopy Gantt Chart Template

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RISK MANAGEMENT & PREVENTIVE ACTION PROCEDURE

A. POLICY

1. MTCC shall determine the risks and opportunities that can affect its operations, and act on them to ensure the integrity of its management system, exploit the opportunities, prevent-eliminate or reduce the risks to improve MTCC. And execute plans to address those risks and opportunities, integrate them into the management system, evaluating the integration effectiveness from data and information analysis, and update the identified risks and opportunities.

B. PURPOSE

1. To define the responsibilities and actions to identify risks, assess them, and manage those that are significant.

C. SCOPE

1. This procedure applies to the:
 - 1.1. Identification and recording of risks and opportunities.
 - 1.2. Preparation and updating of the MTCC Directory of Risk Context & Criteria and its traceability to risks and processes.
 - 1.3. Generation and updating of the Risk Register.
 - 1.4. Risk analysis, assessment, rating, treatment and monitoring.
 - 1.5. Updating of the MTCC Management System.

D. DEFINITIONS

1. Complaints & Nonconformity Secretariat
 - 1.1. An MTCC function, designated as CNS, of one or more persons responsible for the management and resolution of complaints and nonconformities.
2. Risk & Opportunity Groups
 - 2.1. These are the different types of risks and opportunities, such as politics, economic, social, operational, resources and reputation.
3. Risk Register
 - 3.1. A record of information about identified risks.
4. Risk Context:
 - 4.1. The circumstances that form the setting for a risk event, and in terms of which the risk can be fully understood.
5. Risk Criteria:
 - 5.1. The standards or benchmarks used to evaluate and prioritize risks, determine which risks are acceptable and which need to be managed or mitigated.
6. Risk Severity:
 - 6.1. The potential impact or seriousness of a risk if it were to occur; assesses the extent of the consequences and the damage that the risk could cause to MTCC's operations, assets, reputation, or overall objectives.
7. Risk Likelihood:
 - 7.1. The probability or chance of a particular risk event occurring.
8. Risk Score:
 - 8.1. This is the product of risk severity and risk likelihood (Risk Severity x Risk Likelihood)
9. Risk Appetite:

- 9.1. The amount and type of risk that MTCC is wanting to take on or accept, if conditions permit, in pursuit of its goals and objectives – a strategic decision made by MTCC'S leadership and reflects how far they are willing to go in risk-taking based on MTCC's capacity to manage and mitigate those risks.
10. Risk Tolerance:
 - 10.1. The amount and type of risk that MTCC is willing to accept in pursuit of its goals and objectives for the time being. It is a strategic decision made by MTCC's leadership to tolerate a certain level of risk that is higher than the risk criteria.
11. Risk Treatment:
 - 11.1. The process of selecting and implementing measures to manage and mitigate risks.
 - 11.2. Risk treatment is to prevent the risk event from happening or reducing its impact if it should happen. Whereas corrective action is done after the damage from the event has occurred.

E. ABBREVIATIONS

1. MTCC – Malaysian Timber Certification Council.
2. CNS – Complaints & Nonconformity Secretariat.
3. ROG – A class or group of risks and opportunities, like economical risks and opportunities, technological risks and opportunities.
4. TAR – Treatment Action Report
5. S – severity – seriousness, impact, damage resulting from a risk happening.
6. L – likelihood of a risk event occurring.
7. RS – risk score – product of S and L (SxL) to reflect the risk involved.
8. RL – risk level – grouping of a range of Risk Scores into a single group.
9. TP – treatment priority – which risks are to be treated before other risks.
10. TCMR – Treatment & Controls Monitoring Record

F. PREAMBLE

1. CNS shall be responsible for the control and execution of this procedure.
2. This procedure would have been referred to by numerous other procedures and policies of the MTCC Management System.

G. PROCEDURE

1. ALL FUNCTIONS in MTCC are required to observe processes, situations and data, and think about what can go wrong, go well, and if there are opportunities and threats. Some groups of risks and opportunities (ROGs) to look for are:
 - 1.1. Politics – how MTCC activities are affected by government policies regarding natural resources, forestry, the timber industry and any other matters that may affect MTCC. And how MTCC is affected by political stability, consistency, bureaucracy in getting things done, predictability, trade policies in different markets, economic development initiatives, tax policies and other government related initiatives.
 - 1.2. Economics – how MTCC is affected, directly or indirectly, by inflation, seasonal business, consumer trends, interest rates, market liquidity, credit facilities, exchange rates, domestic and international trade velocity, economic growth rates, taxation and incentives, interest rates and fluctuations.
 - 1.3. Strategic – whether MTCC is achieving its strategic goals, are the goals relevant in the current environment, what factors contribute to MTCCs strategic success and are they stable for MTCC needs, are there any strategic goals that need to be revised, is the timeline to achieve

the goals realistic now, are the needed resources still available as required, is the organization structure still applicable for the strategies, and does MTCC need any unique skills to adapt to the changing business/market environment.

- 1.4. Reputation – are there issues that can affect MTCCs branding and reputation. MTCCs reputation, particularly with social media, employment, professional and consumer websites, and non-governmental organizations, can be affected by:
 - 1.4.1. The quality and reliability of MTCCs operations and services.
 - 1.4.2. Stakeholder relationships and perceptions.
 - 1.4.3. Employee loyalty and relationships – what they post on the internet.
 - 1.4.4. Public comments on the organization, its operations and employees.
 - 1.4.5. Court decisions, issues with government agencies, licences, and fines.
 - 1.4.6. Participation in ‘corporate social responsibility’ projects, and other public related projects.
- 1.5. Legal / Compliance – are there compliance issues with laws, regulations, government policies, licence conditions and best practices that are overseen by the government, labour organizations, environmental regulators, consumer bodies, self-regulating industry organizations, professional bodies, trade and investor groups, and other groups that impose good governance and ethical business practices.
 - 1.5.1. To ensure compliance, MTCC needs to be vigilant, competent, pre-emptive and experienced in these matters.
- 1.6. Financial – is MTCC vigilant about risks related to money flowing in and out of the business, loss or gain of capital, or the likelihood of losing or gaining money, including issues with cash flow and liquidity, impacts of exchange rate fluctuations, uncertainties with investments, business ventures and equities, issues with debt servicing, financially unsound operations, budgets, risks to asset-backed funding,
- 1.7. Governance – is MTCC aware that investors coming into Malaysia are increasingly looking into good governance practices and their improvements, regarding leadership and business practices, audits and transparency, internal controls and traceability, executive over-pay, employee under-pay, voting rights of relevant stakeholders on different issues, board members with conflicting interests, board member's diversity and impartiality, CEO independence, bribery, ethics and integrity.
- 1.8. Social – for better risk awareness, MTCC needs to build questions around:
 - 1.8.1. Social behaviours – how MTCC is affected by social trends and lifestyles, that are influenced by overall beliefs and values leading to societal attitudes and behaviours. These beliefs and values could be related to money management, cultural norms, stakeholder relations, imports and exports, religion, work-life-leisure balance, environmental concerns, demography, family, diversity, immigration and many more. MTCC needs to be aware of the dynamics of social behaviour, its issues and changes to adapt MTCC.
 - 1.8.2. Social governance – MTCC needs to be aware that consumers and investors are increasingly identifying themselves with organizations that practice responsible social governance, such as fair wages, reasonable working conditions, racial and sexual equality and protection, ethical non-exploitative supply chain, concern for consumers, charitable causes, local community development, volunteering and overall stakeholder interests.
- 1.9. Health & Safety: there are many aspects of health and safety that MTCC needs to consider in its policies:

- 1.9.1. Physical – impacts from working conditions and hazards such as lifting heavy items, tripping over objects, slippery floors, missing safety features, falling objects, poor harnessing, and so on.
- 1.9.2. Ergonomic – suitability of chairs, tables, workstation layout, reaching out to heights, personal protective equipment, tools, work panels, etc...
- 1.9.3. Chemical and biological – the safety, packaging, marking, controlling and working with hazardous chemicals and materials. Or materials that can release or create biological hazards such as harmful bacteria, viruses, insects and plants.
- 1.9.4. Sound and lighting – sound and light intensity, types, variations, and fluctuations can be physically and mentally damaging.
- 1.10. Environment – MTCC needs to be aware that investors, customers, suppliers, regulators and consumers are increasingly seeking to control or avoid doing business with organizations that contribute to environmental damage: MTCC is indirectly involved in activities that could significantly affect the environment and should play its role in the protection of the environment.
- 1.11. Security – Information, Knowledge, Assets – MTCC shall ensure the correct installation, use and control of:
 - 1.11.1. Hard assets – MTCC should provide for buildings, equipment, materials, utilities and facilities with appropriate securities using security personnel, CCTVs, sensors, detectors and other means as required.
 - 1.11.2. Knowledge – MTCC should provide for the secure storage, control and retrieval of knowledge, especially those unique to its operations, that will not be lost with staff turnover.
 - 1.11.3. Intellectual Property and Trade Marks – MTCC should secure the theft or misuse of its trademarks and intellectual properties, competitive techniques and methods that differentiate MTCC from other organizations.
 - 1.11.4. Internet Security Breaches – MTCC shall provide for the security of its information, processes, operations and equipment via unauthorized internet access including protection from any form of cyber-attacks.
- 1.12. Service Quality – how stakeholders form perceptions about MTCC service performance, its reliability, ease of access to MTCC services, MTCC competence in providing the services, the assurance and empathy stakeholders experience, MTCC responsiveness to their needs, the tangibles they see and receive.
- 1.13. Operations – any process in MTCC operations and the interfaces can go wrong, services and operations, that may result in poor services, failed IT systems, fraud, litigations, disputes or any number of events, requiring vigilance.
- 1.14. Resources and Utilization – are the resources needed by MTCC available, sufficient, relevant and utilized effectively
 - 1.14.1. Human resources – are there enough people with the functional and behavioural skills to deliver effectively.
 - 1.14.2. Equipment – are the needed equipment to perform the operations available in a good state of care and maintenance.
 - 1.14.3. Work environment – is the work space, lighting, ventilation, utilities sufficient and suitable.
 - 1.14.4. Materials – are the materials for operations appropriate and sufficient.
 - 1.14.5. Information and knowledge – is the necessary information and knowledge for operations to achieve the objectives available.

- 1.15. Technology – is the needed technology for effective operations available.
2. CNS shall produce the MTCC Directory of **Risk Context & Criteria (Appendix)** that will have cover pages and details pages.
- 2.1. On the cover pages, for each of the ROGs, CNS will broadly identify the risk and opportunity context for that group, written as **Risk Context Headlines**, giving an overview of risks, classified into STRATEGIC and OPERATIONAL contexts:
- 2.1.1. STRATEGIC CONTEXTS will describe how the context achieves MTCCs strategic goals.
- 2.1.2. OPERATIONAL CONTEXT will describe what is done to achieve MTCCs strategic goals.
- 2.1.3. The contexts will be separated as ‘MUST HAVE’ and ‘NICE TO HAVE.’
- a. MUST HAVE contexts are what is essential for MTCC to manage its significant risks and opportunities.
- b. NICE TO HAVE contexts are what could further enhance MTCC but is not essential for the time being. This may be classified as ‘MUST HAVE’ in future.
- 2.2. On the detail pages, for each of the broad Risk Context Headlines, CNS will describe the Risk Context and its Risk Criteria in more detail, written as **Risk Context & Criteria Details**.
- 2.2.1. The Risk Context describes the Strategic and Operational Risk Context Headlines in more detail.
- a. Risk Context description may be similar to MTCC Strategy Statements (strategies are also derived from organization threats and opportunities).
- 2.2.2. The Risk Criteria describes what criteria a risk must have in that context before it is considered worthwhile to act on.
- a. Since Risk Criteria is the risk limit for action, it should be the desired criteria (and not the prevailing criteria, that may be different from the desired criteria).
- i. When a risk level that is higher than the risk criteria is being tolerated (Risk Tolerance), it is a temporary risk level until the process is improved.
- b. Some Risk Criteria can be completely detailed in the Directory.
- c. Other Risk Criteria may have many processes and may need to be detailed in another sub-level document. Reference to such sub-level documents should then be made in the Directory.
- d. Risk criteria could also be issued by a government or industry regulator, PEFC or other scheme owners, or other stakeholders.
- 2.2.3. For traceability purposes, CNS will identify:
- a. Each of the ROGs in the cover page numerically.
- b. Each of the Risk Contexts in the detail page alphabetically.
- c. Each of the Risk Criteria in the detail page numerically.
- i. All risks identified in MTCC shall be traceable to the Directory of Risk Context & Criteria (Appendix).
3. CNS shall identify the risks to act on.
- 3.1. Risks must be:
- 3.1.1. Specific – risk information must be well defined, clear and unambiguous.
- 3.1.2. Measurable – able to rate the risk with quantifiable units or qualitative weights.
- 3.1.3. Actionable – able to act on the risk; some risks cannot be acted upon because they are beyond MTCC control..
- 3.1.4. Relevant – risk is relevant to MTCC.
- 3.1.5. Time-Based – is the risk already present or could it appear in future.
- 3.2. Risks can be identified by:
- 3.2.1. Evidence or data-based methods pointing to the risk with certainty.

- a. Most accurate method.
- 3.2.2. Deductive reasoning from observations and information to conclude about risks.
 - a. Medium accurate method applied as needed for medium impact risks, when better methods will be late or cannot be obtained.
- 3.2.3. Expert determination of risks with limited evidence or uncertain evidence.
 - a. Medium accurate method applied when experts are available to make judgments, or when better methods will be late or cannot be obtained.
- 3.2.4. Inductive reasoning to make risk decisions with limited evidence on uncertain situations.
 - a. Low accurate method. Applied when better methods will be late or not available.
- 4. CNS shall generate the Risk Register that could contain 4 sections:
 - 4.1. MTCC Strategy Section
 - 4.1.1. For risks from strategies adopted by MTCC.
 - 4.2. MTCC Operations Section
 - 4.2.1. For risks from MTCC operations.
 - 4.3. MTCC Oversight Section
 - 4.3.1. For risks arising from matters that MTCC has oversight, such as certificate holders.
 - 4.4. MTCC Stakeholder Section
 - 4.4.1. For risks arising from matters that MTCC handles on behalf of its stakeholders.
- 5. CNS shall conduct risk assessment, record the risk and its assessment details in the Risk Register containing the following information:
 - 5.1. Risk Number – traceability number of the risk to the Directory of Risk Contexts & Criteria and referenced in other documents when required.
 - 5.2. Revision Number – the number of times the risk has been treated and the Risk Register been updated or revised to reflect the treatment results.
 - 5.3. Pre-TAR – The earlier TAR number of risks that were treated before.
 - 5.4. Event/Process – the process or activity from which the risk can take place.
 - 5.5. Risk Owner – the function or person responsible for the process or activity.
 - 5.6. Risk Source – which part of the process or activity from which the risk can happen.
 - 5.7. Trigger – the event that can initiate the risk to take place.
 - 5.8. Risk Nature – what can happen because of the risk event/process and risk trigger.
 - 5.9. Consequence – what can happen if the risk takes place.
 - 5.10. Controls – controls could be trained people preventing or exploiting the risk, work methods and systems, self-check systems and software, among others. Considerations of controls are:
 - 5.10.1. The controls are comprehensive – they are controlling all the different ways in which the risk event can materialize.
 - 5.10.2. The controls can prevent the risk from happening, at least to a tolerable level.
 - 5.10.3. The controls are constantly monitoring and managing the risk or raising the alarm when the risk exceeds its criteria or tolerance level.
 - 5.11. Mitigation – steps to reduce or prevent the risks – in this case it is about mitigating before the risk treatment is completed.
 - 5.12. Pre-Decision – a rule of thumb decision on insignificant risks or high risks.
 - 5.12.1. Insignificant risks – **hold** from further analysis – may be investigated later when there are no higher risks.
 - 5.12.2. High risks – immediately **treat** without need for further assessment.

- 5.12.3. Significant risks – continue with further analysis and **assess** risk to determine the treatment.
- 5.13. S (severity) – how impactful will the consequence be; it is ranked and rated as:
- 5.13.1. High – rated 5.
 - 5.13.2. Medium-High – rated 4.
 - 5.13.3. Medium – rated 3.
 - 5.13.4. Medium-Low – rated 2.
 - 5.13.5. Low – rated 1.
 - 5.13.6. Severity is assessed based on:
 - a. Proximity – how close is the risk event – when will it happen?
 - b. Velocity – when it happens, how fast will it be?
 - c. Pervasiveness – how widespread will the consequence be?
 - d. Persistence – how long will the effects of the consequence last?
 - e. Preparedness – how prepared are we to respond effectively?
 - f. Effectiveness – how effective are existing risk mitigation or “control” activities?
 - 5.13.7. The magnitude of severity:
 - a. May be accurately estimated, like financial losses (or gains).
 - b. May need to be estimated, like industry perception, based on experience.
- 5.14. L (likelihood) – the probability of the event and its impact occurring; it is ranked and rated as:
- 5.14.1. Most Likely – rated 5.
 - 5.14.2. Likely – rated 4.
 - 5.14.3. Quite Likely – rated 3.
 - 5.14.4. Unlikely – rated 2.
 - 5.14.5. Most Unlikely – rated 1.
 - 5.14.6. Likelihood, based on data and information available, can be estimated by:
 - a. Evidence or data-based methods – most accurate method.
 - b. Deductive reasoning from observations and information – medium accuracy
 - c. Expert determination of likelihood with limited data and information – medium accuracy.
 - d. Inductive reasoning when there is very little experience or information – least accurate method.
- 5.15. RS (risk score) – is the product of the severity rating and the likelihood rating (S x L). Because it is S x L, both S and L cannot be zero.
- 5.15.1. RS can be ranked and prioritized for setting risk treatment.
 - 5.15.2. The higher the RS, the more important it is to treat the risk – low RS risks can be tolerated.
 - 5.15.3. Some risks, with high RS, can be tolerated because the controls are effective.
 - 5.15.4. Unexpected RS can cause the Risk Criteria, Severity and Likelihood to be re-evaluated.
 - 5.15.5. RS values may cause the controls to be altered – for low RS, controls can be reduced to minimize costs, and for high RS controls can be increased.
- 5.16. RL (risk level) – because there can be many RS, grouping them into different levels will reduce the number of risk groups to manageable levels – RL (risk level) represents a range of RS.
- 5.16.1. Risk Thresholds, to act on the risk, can be set for S, L, RS and RL:
- 5.17. Risks for treatment have been identified from the above, during the:
- 5.17.1. Pre-decision stage.
 - 5.17.2. After the rating, risk score and risk level stage.

6. CNS shall then determine the Treatment Method and record in the Risk Register:
- 6.1. Treatment Method – the choices of treatment could be:
- 6.1.1. Comply – established procedures were not complied with and compliance can be achieved by:
 - a. Making the procedure easier to comply with, or more practical.
 - b. Making the procedure more difficult to deviate from and implement audit systems to prevent deviations.
 - 6.1.2. Avoid – risks can be avoided by not doing some things, not investing in some processes, not creating certain jobs, etc.
 - a. Avoiding risks could also mean missing opportunities.
 - b. Usually, risks are avoided when the risk is too high. Avoiding all levels of risks will mean doing nothing.
 - 6.1.3. Prevent – risks are not allowed to happen, usually by redesigning the service or process so that the risk event has a negligible probability of happening.
 - a. Preventing risks involves expenses that should be justifiable.
 - 6.1.4. Reduce – processes or controls are implemented to reduce the impact and likelihood of the risk event.
 - a. Reducing risks also involves expenses that should be justifiable.
 - 6.1.5. Separate – the process or activity is broken up into different components, so that some components have risks and other components do not have risks. And it may be easier to manage the risk in the component process.
 - a. Separating risks require creativity, but it is usually less expensive.
 - 6.1.6. Spread – the impact or damage of the risk is spread across different operations or processes, so that its impact is not significant on any one operation or process.
 - a. Spreading risks require creativity and could be expensive.
 - 6.1.7. Diversify – instead of concentrating all resources and energy into one operation that has high risk potential, the resources or energy is diversified to different operations, so that the impact of any failure will not significantly affect that operation.
 - a. Diversify is different from separate – in separate process is separated and in diversify the resources are separated.
 - b. Diversifying risks requires creativity but is usually less expensive.
 - 6.1.8. Duplicate – duplicating resources, having parallel processes and other identical processing can help mitigate when the main (or primary) resource or process is non-functional.
 - a. Having duplicates could be expensive for hardware.
 - 6.1.9. Alternative – while not being a duplicate of the original, alternative processes can still get the job done.
 - a. Alternatives may not be fully satisfactory and could be expensive.
 - 6.1.10. Retain & Monitor – when other risk treatment methods are too expensive or not possible, the risks could be retained, with enhance monitoring to detect and prevent the risk event from occurring.
 - a. Enhanced monitoring systems could be expensive.
 - 6.1.11. Share – in some cases, risks can be shared, like joint investments.
 - a. Getting someone to share the risk means less benefits for MTCC.
 - 6.1.12. Transfer – risks can be transferred, like in insurance, to another entity by paying for the cost of risk acceptance by the other party. More or higher risks cost more.
 - a. Transferring risks is expensive.

- 6.1.13. Remove Risk Source – removing the source of the risk, such as a new vendor, can eliminate risks from that source. We can only remove risk sources when they are redundant, replaceable or unnecessary.
 - a. It can be mostly done quickly at minimal cost.
- 6.1.14. Other methods – other methods of treatment may be possible on a case to case basis.
- 6.2. CNS decisions on the treatment method may be affected by:
 - 6.2.1. Resource availability – MTCC may not have the necessary people, skill-sets and other resources to treat the risk the way MTCC would want to. And other treatment methods may be sought.
 - 6.2.2. Time needed – when a treatment takes long for a potential threat, MTCC may look for other treatment options.
 - 6.2.3. Financial requirements – the cost-benefit and return on investment for a risk that has not happened yet may influence the treatment method selected.
 - 6.2.4. Legal requirements – if laws, regulations, norms and industry practices prefer some methods over another.
 - 6.2.5. Social responsibilities – if the choice of Treatment Method affects MTCCs Corporate Social Responsibilities.
 - 6.2.6. Environmental protection – considerations for the environment may influence the choice of Treatment Method.
 - 6.2.7. Cross treatment and impacts – treating a risk could also affect another process:
 - a. Creating a new risk – if this new risk is lower than the treated risk, it may be worthwhile to pursue the treatment.
 - b. Reducing risks across different processes.
 - 6.2.8. MTCCs risk appetite and tolerance to take advantage of opportunities.
 - 6.2.9. How effective the treatment is expected to be in the long term.
 - 6.2.10. Other case-to-case considerations could be:
 - a. Obligations – MTCC may be obliged, because of its relationships with stakeholders, to pursue certain treatments.
 - b. Values – MTCC values, integrity and transparency may require MTCC to avoid certain risks, or take other risks.
 - c. Strategies – MTCC may be compelled to choose expensive or specific methods to achieve its strategic plans in the required time frame.
 - d. Stakeholder needs or views –stakeholders may prefer one method to another (though both are equally effective), based on their perceptions and experience.
 - e. Other matters.
- 7. CNS will then prioritise the treatment and record in the Risk Register.
 - 7.1. TP (Treatment Priority) – the order in which risks are to be treated.
 - 7.1.1. Risk Score and Risk Level are the usual consideration for Treatment Priority.
 - 7.1.2. The Treatment Method will also determine the sequence of treatment – those risks that can easily be implemented could be treated, while the treatment method is being prepared for the high priority risks.
 - 7.1.3. This prioritized TP then becomes the order in which the risks are treated.
 - a. Between risks with the same risk level and scores, CNS will determine the priority.
 - b. If a low priority treatment is easy to implement and can reach across many risks, then this should be done early, since it is easy to do and there are large benefits.
 - 7.1.4. The TPs will then be numbered according to this priority.

- a. If one treatment can treat more than one risk, then an extension to the TP number will be given to each of those risks. For example, if the TP number is 7, and there are 3 risks that can be treated by this method at the same time, then the TP number for each risk will be 7.1, 7.2 and 7.3.
- 8. CNS will then issue the Treatment Action Report (TAR) (Form) to perform the treatment. The TAR shall have the following information:
 - 8.1. TAR No:
 - 8.1.1. A unique identification for this Treatment Action Report that is also recorded in the Risk Register.
 - 8.1.2. If one risk has more than one treatment, then each of these treatments will get a TAR.
 - 8.2. Date Register Updated:
 - 8.2.1. The Risk Register and Risk Record information is updated to reflect the new risk status when the treatment is successfully completed.
 - a. The Register will not have the old information but will have a Risk Revision number to show that the current information was revised.
 - b. The Risk Record will have both the earlier and new information. Each risk revision is added on to the Risk Record.
 - c. The Risk Number will be maintained; only the Risk Revision Number will be updated to reflect the number of times the risk information has been updated.
 - 8.3. Risk Nos.:
 - 8.3.1. The Risk Number is unique for each risk, differentiating one risk from another, and showing the risk being treated.
 - 8.3.2. If the treatment is for more than one risk number, then all risk numbers will be included in the TAR.
 - a. Similarly, in the Risk Record, we could have a few treatment numbers for one risk, when one risk is being treated by more than one treatment.
 - b. The Risk Number links the TAR to the Risk Register and Risk Record.
 - 8.4. TEAM:
 - 8.4.1. The risk owner, the people who issue and approve the TAR, the team lead and team members who will investigate and perform the treatment are identified.
 - 8.5. TREATMENT:
 - 8.5.1. Before This Treatment – the information on Event/Process, Risk Source, Trigger, Risk Nature, Consequence and Mitigation from the Risk Register, before treatment is recorded here.
 - a. The severity rate (S), the likelihood rate (L), the risk score (RS), the risk level (RL) and the treatment priority (TP) data before treatment is also recorded here.
 - 8.5.2. After This Treatment – the updated information on Event/Process, Risk Source, Trigger, Risk Nature, Consequence and Mitigation after the treatment is recorded here and in the Risk Register; since the risk information for a risk number is being revised, there is a Revision Number change in the Risk Register.
 - a. The severity rate (S), the likelihood rate (L), the risk score (RS), the risk level (RL) and the treatment priority (TP) data after treatment is also recorded here.
 - 8.6. Treat Plan:
 - 8.6.1. For complex treatments, more detailed plans may be required – CNS may then issue a Project Plan, Gantt Chart, Job Sheet or similar controls to plan, schedule and assign the treatment tasks – the unique identification numbers of these detailed plan documents will be recorded here.

- 8.6.2. For simple treatments, the TAR itself is enough to record the treatment tasks and details.
- 8.7. Tr Objective:
 - 8.7.1. To define what is the expected outcome of the treatment or for what outcome was the treatment planned. This may be different from the actual outcome which is the treatment result.
- 8.8. Treat Method:
 - 8.8.1. Description of the treatment method used and any decisions between different choices of treatment.
- 8.9. Treat Details:
 - 8.9.1. Description of how the treatment was conducted, completed, its outcome, confirmation of success, and the resources used.
 - 8.9.2. Contains risk details and status after treatment to update the Risk Record.
- 8.10. Treat Trial:
 - 8.10.1. Details of any trials before implementing the treatment – especially when it may be necessary to revert to the pre-treatment status.
 - a. Not all treatments have trials.
 - 8.10.2. Details of any contingencies that might happen – especially for risky treatments. And the readiness to revert.
 - 8.10.3. If it is not possible to revert, there must be alternative treatments to manage the operations.
 - 8.10.4. Include the period, people and other resources needed to test if the treatment is going to be effective.
 - a. This trial period is a short period – after a successful trial, CNS may decide to have a longer monitoring and control period.
- 8.11. Constraints:
 - 8.11.1. Details of any unexpected constraints to the treatment, how they affected the treatment and were managed.
- 8.12. Treat Result:
 - 8.12.1. Details of the outcome of the treatment, improvements made, and any changes to the Event/Process, Risk Source, Trigger, Risk Nature, Consequence and Mitigation, necessary to update the Risk Record and Risk Register.
 - a. If it is decided to 'Monitor & Control' then this update is done after the monitoring and control period.
- 8.13. Conclusion:
 - 8.13.1. Description of lessons learnt, significant outcomes and achievements.
- 9. CNS, at this stage, will decide on what to do, update the TAR, and sign off as follows:
 - 9.1. Recommend:
 - 9.1.1. Recommendations about staying with the treatment, reverting fully or partially to the earlier situation, or executing another treatment, and if there is anything else to be done now or later.
 - 9.2. Decision – decide on the recommendations that may be:
 - 9.2.1. Adopt the treatment, in which case the Severity, Likelihood, Risk Score, Risk Level and Treatment Priority shall be reviewed and updated.
 - 9.2.2. Monitor & Control, in which case the Treatment & Controls Monitoring Record (Form) shall be issued, and the decision will be concluded after the monitoring.

- a. Monitoring & Control is done when the treatment is complex, and the trial period was not long enough.
 - 9.2.3. Reject the treatment and revert fully or partially to the earlier situation, or execute another treatment, or anything else that can be done.
 - 9.2.4. If the treatment is effective, the Treatment Priority will become low, and this risk may never be reviewed again.
- 10. CNS will issue and monitor, if it is decided to monitor before concluding on the treatment, the Treatment & Controls Monitoring Record (TCMR) (Form) to perform the monitoring. The TCMR shall have the following information:
 - 10.1. Treat Monitor Record Number:
 - 10.1.1. This is a unique identification number given to this TCMR and recorded in the TAR.
 - a. Not all TARs will have a TCMR.
 - 10.2. TAR No:
 - 10.2.1. Recording the parent TAR number here is to refer and link both documents.
 - 10.3. PARAMETERS:
 - 10.3.1. The process or treatment parameter that is being monitored.
 - 10.4. Date:
 - 10.4.1. Dates when the monitoring is scheduled and takes place.
 - 10.4.2. Any inconsistencies or changes shall be recorded here.
 - 10.5. Recorded by:
 - 10.5.1. The function or person who monitors and records the dates and findings.
 - 10.6. Analysis:
 - 10.6.1. If any analysis of the findings from the monitoring is done, a summary of the analysis shall be recorded here.
 - 10.7. Conclusion:
 - 10.7.1. Description of lessons learnt, significant outcomes and achievements.
 - 10.8. Decision:
 - 10.8.1. At the end of the monitoring period, CNS will determine if the treatment has been successful and record the decision which will be the same as in the TAR.
- 11. CNS will then decide if changes to the MTCC Management System is required.
 - 11.1. System Rev.:
 - 11.1.1. When required, all related management systems including policies, procedures, instructions, guidelines and controls will have to be updated to reflect the changes made after this treatment.
 - a. If this is required, CNS will issue the MTCC Management System Update Request form (Form).
- 12. CNS will thereafter update the risk documents and close the TAR.
 - 12.1. Upd Record:
 - 12.1.1. Update the Risk Record by adding the new information.
 - a. Include the TAR number in the Risk Record for traceability.
 - 12.2. Upd Register:
 - 12.2.1. Update the Risk Register. The Risk Number will be the same, but it will have a Revision Number to reflect the TAR.
 - 12.2.2. Include the TAR number as 'Pre TAR' (previous TAR) because the Register information is from this TAR.
 - a. 'Previous TAR' is used because this TAR is completed and there may be a need to generate a new TAR later, even after this treatment.

12.3. Close:

12.3.1. When all treatment, control, management and documentation activities have been done, this TAR will be closed.

a. If monitor and control is going on, closing this TAR may take time.

b. TARs are not closed after a successful trial if there is monitor and control.

c. If there is no monitor and control, the TAR may be closed after the trial and decisions.

12.3.2. The TAR is the primary risk treatment control and management tool, with details and records of the treatment.

12.3.3. The TAR will not be closed until the treatment is successfully completed.

12.4. Most of the time the Risk Treatment Action Report should be sufficient to plan and record our risk response and treatment.

13. CNS, from the time of recording in the Risk Register, shall also generate Risk Records (Form) for each of the risks.

13.1. Risk Record – since the Risk Register is a listing of all significant risks, with only summary information to understand the risks and actions taken, the Risk Records will have more details of the information in the Risk Register, as follows:

13.1.1. Risk Number & Date: The Risk Number as in the Risk Register and the date it was first recorded.

13.1.2. Revisions and Rev. Date: The sequential revision number to the Risk Number, and the dates when the revisions were done. This usually reflects the number of times the risk has been treated and the Risk Register been updated or revised to reflect the treatment results.

13.1.3. Criteria (CC Directory): This is the criteria from the Directory of Risk Context & Criteria.

13.1.4. Criteria (Detail): Specific and detailed criteria elaborating on the Directory Criteria description.

13.1.5. The following are the same as stated in the Risk Register:

a. Event/Process (Heading).

b. Risk Source (Heading).

c. Trigger (Heading).

d. Risk Nature (Heading).

e. Consequence (Heading).

f. Controls (Heading).

g. Mitigation (Heading).

h. Risk Owner.

i. S, L, RS, RL, TP.

13.1.6. For the following, there will be further details, if any is necessary:

a. Event/Process (Detail): The process or activity from which the risk can take place.

b. Risk Source (Detail): The part of the process or activity from which the risk can happen.

c. Trigger (Detail): The event that can initiate the risk to take place.

d. Risk Nature (Detail): What can happen because of the risk event/process and risk trigger.

e. Consequence (Detail): What can happen if the risk takes place.

f. Controls (Detail): The controls currently in place to manage the risks.

- g. Mitigation (Detail): The steps to reduce or prevent the risks before the risk treatment is completed.
- h. Pre-Decision: Mark whether to Treat, Assess, Hold.
- i. TAR No.: This is the unique identification number of the Treatment Action Report
- j. Mon & Ctrl: This is the unique identification number for the Treatment & Controls Monitoring Record (TCMR).
- k. Mgmt Sys Updated: The documents of the MTCC Management System that were updated.
- l. MS Revision Numbers: The dates when the Management System was updated and the revision number.

13.1.7. Updated Records After Treatment:

- a. When changes are being made to the Risk Register after treatment, the new information will be added to the Risk Record, under a new section without removing the earlier information.
 - b. Only the revised information will be updated here.
 - c. Each time there is a treatment to a risk, there will be a new 'Updated Records After Treatment' section in the Risk Record.
14. Since different persons may have different propensity for risks, risk assessment data shall be shared to develop a common understanding of risks and opportunities.
15. The Risk Register is subject to revision and updates as risks are managed and improved and shall be document controlled.
16. The timeline for this procedure shall be as follows:

H. POSTAMBLE

1. The methods of risk assessment, analysis and management are used in various procedures in MTCC.

I. RECORDS

1. MTCC Directory of Risk Context & Criteria - Appendix
2. Risk Register
3. Risk Record
4. Treatment Action Report (TAR)
5. Treatment & Controls Monitoring Record
6. MTCC Management System Update Request

TITLE	FORM NO.	RETAINED BY	MIN. RET. PERIOD	REMARKS
1. Risk Register				
2. Risk Record				
3. Treatment Action Report				
4. Treatment & Controls Monitoring Record				
5. MTCC Management System Update Request				

DIRECTORY OF RISK CONTEXT & CRITERIA (Appendix)

RISK CONTEXT HEADLINES

Threats & Opportunities	Strategic Context Headline		Operational Context Headline	
	Must Have	Nice to Have	Must Have	Nice to Have
Politics	Stability, clear tax policies	Predictable, political network, clout	Trust in government policies	
Economics	Inflation, exchange rates, credit facilities	Interest rates, G2G trade facilities		
Strategic	Relevant, realistic, reviewed, updated	Agile adaptation	Resources to achieve, contingency resources	Higher budgets
Reputation	Industry respected	Household brand	Positive public comments	Supportive public
Legal/Compliance	Surveyed/consulted when developing related laws	Participate in the development of new related laws	Comply with all legal and statutory requirements	
Financial	Long term and realistic financial planning	Debt free	Seamless cash flow	Large reserves
Governance	Good governance policies	Collaborated with all stakeholders	Comprehensive audits	Open to external surveillance
Social	Adapting to social behavioural trend	Predict social behaviour	Responsible social governance	Higher job security and wages
Health & Safety	Health and safety compliance	Enhanced health and safety policies	Health and safety measures to comply	Distancing people from exposure
Environment	Environmental compliance	Enhanced environmental policies	Emissions in compliance	Raise emission levels above requirements
Operations	Design, develop operations	Achieve benchmark standards	Achieve organization objectives	Enhance organization objectives
Resources – Human	Obtain the required skills	Develop the required skills	Essential skills for operations	Supplementary skills for operations

RISK CONTEXT & CRITERIA DETAILS

Risk Context & Criteria Details				
		Risk Context Headline	Risk Context	Risk Criteria
Politics				
Strategic	Must Have	Stability	There should be political stability without drastic changes with new governments, which will require a competent government machinery mostly independent of political parties.	No political appointees to government administrative divisions. Will set a risky future trend for erratic policies. More than 4 equally strong political parties will lead to inconsistent policies. Manifestos of political parties should point to a common development direction, even with different paths.
		Clear tax policies	Government tax policies should be consistent and supportive of business and economic growth. Government prudence is necessary to prevent raising taxes or new taxes for offsetting bad decisions.	Government debt should not be more than 60% of GDP. No upward trend in total taxes for 3 consecutive years.
Operational		Trust in government policies	Trust in government policies, with positive perceptions, is necessary for the hiring of competent global human capital.	There must be consistency for at least 5 years in policies and costs for work permits, visas, ex-patriate taxes, and entry and exit permits.
Strategic				
Strategic	Must have	Relevant, realistic, reviewed, updated	Strategic plans must be at least for 3 years. Threats & Opportunities must be complete to develop strategic plans and risk contexts. Plans and objectives must be SMART (specific, measurable, achievable, relevant/realistic, timely/time-based).	Strategic plans must be reviewed annually. The list of threats and opportunities must be analyzed and expanded to capture developing situations. Plans must be updated according to progress in achieving strategic goals.
Operational		Resources to achieve	Resources to achieve strategic goals must be clearly defined, obtained or developed, and be sufficient and available. Enterprise Resource Planning must be aligned to strategic goals.	Equipment resource planning must include 15% downtime. Idle time must not be more than 10%. Operative staffs must be cross-trained for 3 tasks. Leave planning should not affect operations.
		Contingency resources	Emergencies or diversions from plans must be pre-empted and resources made available.	Emergency planning must be done and reviewed annually.
Operations				

		Risk Context Headline	Risk Context	Risk Criteria
Strategic	Must have	Design, develop operations	Operations should be designed for efficient and effective functioning.	Organization structure to distribute responsibilities and accountabilities evenly, with $\pm 10\%$ variation in accountability impacts.
				Seamless interface between organization functions.
Operational			Operations design should include features to ensure problem-free operations.	Poka-Yoke (Mistake-Proofing) for processes with Level 3 likelihood of process failure.
		Achieve organization objectives	Design and development of operations should achieve organization objectives.	Customer satisfaction should be more than 110% of the index.

FORM (Procedure Number. Form Number)

RISK REGISTER																		
Risk #	Rev #	Pre TAR	Event/ Process	Risk Owner	Risk Source	Trigger	Risk Nature	Consequence	Cont-rols	Mitiga-tion	Pre-Deci-sion	S	L	RS	RL	Treat-ment Method	TP	TAR #
																	8	

Risk Record

Risk Number & Date	Revisions								
	Rev. Date								
Criteria (CC Directory)	This is the criteria from the Directory of Risk Context & Criteria								
Criteria (Detail)	Specific and detailed criteria for operations, activities, processes.								
Event/Process (Heading)	As stated in the Risk Register								
Event/Process (Detail)	Detailed information in the Risk Record								
Risk Source (Heading)	As stated in the Risk Register								
Risk Source (Detail)	Detailed information in the Risk Record								
Trigger (Heading)	As stated in the Risk Register								
Trigger (Detail)	Detailed information in the Risk Record								
Risk Nature (Heading)	As stated in the Risk Register								
Risk Nature (Detail)	Detailed information in the Risk Record								
Consequence (Heading)	As stated in the Risk Register								
Consequence (Detail)	Detailed information in the Risk Record								
Controls (Heading)	As stated in the Risk Register								
Controls (Detail)	Detailed information in the Risk Record								
Mitigation (Heading)	As stated in the Risk Register								
Mitigation (Detail)	Detailed information in the Risk Record								
Risk Owner	Pre-Decision		S	L	RS	RL	TP	TAR No.	Mon & Ctrl
	Treat	Assess	Hold						
Mgmt Sys Updated									
MS Revision Numbers									
Updated Records After Treatment									
Add updated title here	Add only the updated details here.								
Updated Records After Treatment									
Add updated title here	Add only the updated details here.								

<u>RISK TREATMENT ACTION REPORT</u>									
Risk Nos:						TAR No: _____			
						Date Register Updated: _____			
<u>TEAM</u>	Owner	Issued by	Approved by	Team Lead	Team M	Team M	Team M	Team M	Team M
Department									
Designation									
Name									
Sign									
Date									
<u>TREATMENT</u>	<u>Before This Treatment</u>					<u>After This Treatment</u>			
Event/Process									
Risk Source						S			
Trigger						L			
Risk Nature						RS			
Consequence						RL			
Mitigation						TP			
Treat Plan	TAR Project Plan #		TAR Gantt #		Job Sheet #				
Tr Objective									
Treat Method									
Treat Details									
Treat Trial									
Constraints									
Treat Result									
Conclusion									
Recommend							Name	Sign	Date
Decision							Name	Sign	Date
Treat Monitor	TCMR No.	Decision					Name	Sign	Date
System Rev							Name	Sign	Date
Upd Record							Name	Sign	Date
Upd Register							Name	Sign	Date
Close TAR							Name	Sign	Date
Please include all treatment details and records									

TREATMENT & CONTROLS MONITORING RECORD														Treat Monitor Record No: _____	
TAR No.: _____														Date TAR Updated: _____	
DATES & DATA															
PARAMETER	Date	Date	Date	Date	Date	Date	Date	Date	Date	Date	Date	Date	Date	Date	
Recorded By															
Analysis															
Conclusion															
Decision															
Close											Name	Sign	Date		

INVESTIGATION & REPORTING PROCEDURE

A. POLICY

1. Where it is required to investigate processes, resources, decisions, policies, strategies or other relevant matters, such investigation shall be performed to the extent required to learn about, understand and resolve any matters arising. Such investigations shall be appropriate to the nature and extent of the matters being investigated and should enhance continual improvement and stakeholder trust.

B. PURPOSE

1. To define the responsibilities and actions to take when matters need to be investigated, and reports issued, including investigating:
 - 1.1. Complaints, nonconformities and issues that cannot be resolved by the Risk Management & Preventive Action procedures, Complaints & Nonconformity Management procedure and Corrective Action procedure.
 - 1.2. Nonconformities identified during audits or assessments.
 - 1.3. Stakeholder complaints (e.g., from communities, NGOs, or government bodies).

C. SCOPE

1. This procedure outlines the steps and responsibilities involved in addressing and resolving issues raised by stakeholders (internal and external) or identified during audits and risk analysis via a detailed investigation procedure.

D. DEFINITIONS

1. Complaints & Nonconformity Secretariat
 - 1.1. An MTCC function, designated as CNS, of one or more persons responsible for the management and resolution of complaints and nonconformities.
2. Nonconformity
 - 2.1. Non-fulfilment of an established requirement of MTCC including procedures, processes and instructions.
 - 2.1.1. Established will mean defining clearly without ambiguity.
3. Reporter of Nonconformity
 - 3.1. The person, entity or organization that reports on the part of MTCC Management System that has been breached.
4. Complaint
 - 4.1. A statement of dissatisfaction made to MTCC, related, directly or indirectly, to the services that MTCC provides, where a response is expected.
5. Complainant
 - 5.1. The person, entity or organization making a complaint.

E. ABBREVIATIONS

1. MTCC – Malaysian Timber Certification Council.
2. CNS – Complaints & Nonconformity Secretariat.
3. COMREP – Complaints and nonconformity reports.
4. CNR – Complaint & Nonconformity Report
5. RIN – Request for Investigation form

F. PREAMBLE

1. CNS shall be responsible for the control and execution of this procedure.
2. The Complaints & Nonconformity Management Procedure and the Corrective Action Procedure would initiate this Investigation & Reporting Procedure.
3. This procedure could also be initiated by stakeholders requesting for investigations.

G. PROCEDURE

1. CNS will receive the request for investigation via one of the following:
 - 1.1. The Complaints & Nonconformity Report (CNR) (Form), according to the Complaints & Nonconformity Management Procedure (Procedure) with the information that had been compiled and evaluated up to that stage.
 - 1.1.1. The CNR would already have been registered in the CNIDR, and it has now come for investigation according to this Investigation & Reporting Procedure.
 - 1.2. The Request for Investigation form (RIN) (Form) that needs to be approved by the CEO.
 - 1.2.1. The Request for Investigation form is used only when the issue is not a complaint or nonconformity.
 - 1.2.2. The CEO would have reviewed the significance of the stakeholder and the issue to be investigated prior to approving the investigation.
2. CNS shall register the RIN in the Complaint, Nonconformity, Investigation & Dispute Register (CNIDR) as follows:
 - 2.1. A sequence number for each investigation, whether via the RIN or the CNIDR.
 - 2.2. The RIN Registration Number. This alphanumeric number is recorded in the RIN and indicates the following:
 - 2.2.1. RIN – identification as Request for Investigation.
 - 2.2.2. A sequence number for each MTCC Complaint & Nonconformity Report and Investigation Report.
 - 2.2.3. Investigation Type (are there different types of investigations):
 - a.
 - 2.2.4. Requester for investigation
 - a. Since the names of external requesters can be of different alphanumeric lengths, CNS shall create their designations within 6 characters.
 - b. Internal requesters shall be identified by their MTCC designations.
 - 2.2.5. Team Head – the MTCC function responsible to investigate.
 - 2.3. Receipt date of RIN.
 - 2.4. The Investigation Report Number:
 - 2.4.1. The report number shall be the same as the RIN or NCR number as appropriate.
 - 2.4.2. However, the prefix RIN or NCR shall be replaced by IR.
 - 2.5. Investigation Status – whether the investigation has been:
 - 2.5.1. Completed.
 - 2.5.2. Returned to requester, complainant or reporter for clarification.
 - 2.6. Dates when the requester for investigation is being informed of the investigation progress.
3. CNS shall confirm that the information for WHAT NEEDS TO BE INVESTIGATED in the RIN form is complete and comprehensive according to the Complaints & Nonconformity Management Procedure (Procedure) criteria – such as Relevant, Specific, Clear, Evidential, Verifiable, Actionable.
 - 3.1. CNS shall obtain any further information required from the requester for investigation, such as:

- 3.1.1. What are the Investigation Objectives.
 - 3.1.2. Who are the Beneficiaries of the Investigation & How Do They Benefit.
- 3.2. CNS shall verify the completeness of this information.
- 4. CNS shall evaluate the feasibility of conducting the investigation by considering and recording the following:
 - 4.1. Objectives: Objectives must be clear and complete, identifying the issues or problems or what questions need to be answered by the investigation.
 - 4.2. Resources: Assess whether the necessary tools, equipment, materials, software, hardware, and any specialized equipment are available.
 - 4.2.1. If not available, can they be obtained, and how can they be obtained?
 - 4.3. Expertise and Skills: Determine if MTCC has the required knowledge and skills to conduct the investigation.
 - 4.3.1. If not available, can they be obtained, and how can they be obtained?
 - 4.4. Time Frame: Is it possible to complete the investigation in the requested time.
 - 4.4.1. If not possible, can the requester extend the time frame?
 - 4.5. Budget: Are the financial resources available.
 - 4.5.1. If not available, can the investigation costs be shared with other organizations with similar interests? And will there be enough budget.
 - 4.6. Data Availability: Is there access to necessary data in required quality and quantity.
 - 4.6.1. If not available, can such data be obtained through collaboration with other organizations?
 - 4.7. Stakeholder Support: Is the required support from key stakeholders committed – this may be necessary to obtain the necessary resources, budget, facilitations, networks, and overall investigation and implementation support.
 - 4.8. Regulatory and Legal Considerations: Does the investigation comply with all relevant regulations and laws, including data privacy, intellectual property rights, and industry-specific regulations.
 - 4.9. Risk Assessment: What are the potential risks and challenges that could arise during the investigation, and how can these risks be mitigated.
 - 4.10. Potential Impact: What will be the impact of the investigation findings, and how will it affect MTCC and its stakeholders.
- 5. CNS shall, when satisfied that the necessary preliminary information is available, obtain approval from the CEO to conduct the investigation, who will also finalize the priority for the investigation.
 - 5.1. The need to prioritize investigations could occur when there are limited resources, urgency of the results, and other criteria.
 - 5.2. Best judgment under prevailing conditions would determine the investigation priority.
- 6. CNS shall then form the Startup Team with a Team Leader.
 - 6.1. Usually the Startup Team shall comprise of MTCC personnel, but if necessary, it can include external personnel.
 - 6.2. The Startup Team shall plan the investigation and develop the Work Breakdown Structure (WBS) (Form).
 - 6.2.1. Typically, the WBS shall contain the time sequence of investigation work-packages:
 - a. Each work package is a manageable unit of work that can be assigned to an individual or small team, providing a clear outline of what needs to be done. Each work package could contain a few tasks. And the investigation would contain many work packages.
 - b. Individual or small team for each work package shall be identified.

- c. Some work packages are independent and can be started without be dependent on other work packages.
 - d. Some work packages are dependent on other work packages, and this dependency shall be indicated.
 - e. Those work packages that are dependent on one another shall be sequenced accordingly.
 - f. For each work package, the start date, duration and end date shall be stated.
- 6.2.2. When sequencing the investigation work packages and tasks, the Startup Team shall consider the following:
 - a. What needs to be studied.
 - b. What methods to use.
 - c. What resources to use.
 - d. What data to collect.
 - e. What analysis to do.
- 6.3. The Startup Team may use other criteria and methods to do the WBS.
- 7. CNS, on the recommendations of the Startup Team, shall then determine if additional resources and manpower, skills and expertise are required.
- 8. CNS shall then obtain the necessary resources, manpower, skills and expertise and form the Investigation Team.
 - 8.1. The Investigation Team could comprise of MTCC staff, other organizations and external personnel with the necessary skills and expertise.
 - 8.2. Other resources could also be from different organizations and sources.
- 9. CNS shall then initiate the investigation and compile the Investigation Report. The contents of the Investigation Report and the investigation steps shall be:
 - 9.1. Title page – the title page shall contain (Appendix):
 - 9.1.1. A unique Investigation Report number.
 - a. It shall have the prefix IR, followed by the CNR or RIN number.
 - 9.1.2. Specific report –
 - a. Title: The main title of the investigation and report
 - b. Sub-title: Further explanation of the investigation, report and results.
 - c. Descriptor: Brief description of the results and conclusions.
 - 9.1.3. Authors’ names, departments, functions.
 - 9.1.4. Sponsors:
 - a. Sponsors are those who fund the investigation, provide resources, facilitate the investigation and production of the report.
 - 9.1.5. Authorization to conduct investigation:
 - a. Authorization is by the CEO.
 - 9.1.6. Date of issue and revision status (if any)
 - a. When reports are ‘document controlled,’ and are subject to revisions, the revision number shall be indicated.
 - 9.1.7. Intended audience:
 - a. If the report is publicly available, state “Publicly Available Report.”
 - b. If the report is for specific audience (persons or organizations), state this clearly.
 - i. If the report is ‘document controlled,’ then the ‘distribution list’ of document control should be the specific audience.
 - 9.1.8. Confidentiality statement.

- a. If the report is not for public consumption, include the confidentiality statement, as follows:
 - i. This document is intended for _____. If you are not an intended recipient, please erase this document from your system and inform admin@mtcc.com.my
- 9.1.9. Any earlier report to refer to before reading this report.
- 9.2. Main Message:
 - 9.2.1. When the report is extensive with a wide range of issues, a summary of reporting on those issues will be useful for stakeholder to understand the report without having to read it in its entirety. This subjective decision shall be made by the Investigation Team.
- 9.3. Contents List:
 - 9.3.1. The report headings and their page numbers.
- 9.4. Definitions:
 - 9.4.1. Explanations of uncommon terms used in the report.
- 9.5. Abbreviations & Acronyms:
 - 9.5.1. Abbreviations are short-forms of longer words, like 'stats' for 'statistics'..
 - 9.5.2. Acronyms are first letters of a term or forms of words or phrases that are pronounced as a word and are made up of parts of the phrase they stand for.
- 9.6. Executive Summary:
 - 9.6.1. A summary of the report to answer decision makers questions and for them to make decisions, without having to go through the detailed report. It will include the purpose, important causes for the investigations, findings, results, conclusions and recommendations.
- 9.7. Purpose:
 - 9.7.1. What are the objectives of the investigation and report.
- 9.8. Scope:
 - 9.8.1. What is included in the investigation and report. And what is excluded in the investigations though it is expected to be included.
 - 9.8.2. Scope Exclusions: When there are requirements in the standards, operating procedures and instructions, Scope of Work or Terms of Reference, or identified during problem solving processes, research, innovation or practised by the industry, and these requirements are not in the report, this case on non-compliance shall be separately stated in this section. Reasons for non-compliance shall be stated.
 - 9.8.3. If Action Required: If it is possible to improve the report to comply with requirements by further actions, resources, support, it should be stated here.
- 9.9. Background & Introduction: Can be written together or separately depending on the extent of details.
 - 9.9.1. Background: Some earlier events that caused the purpose of investigation and reporting – justification for the purpose.
 - 9.9.2. Introduction: Introduction sets the scene, like:
 - a. Planning for the investigation.
 - b. Preparations made.
 - c. Risk management.
 - d. Alternative plans.
 - e. Types of information in the report.
 - f. Whether the reader needs to do something before continuing to read.

9.10. Methods used – what was done to get the Data, that is then Analysed to get Results to make Conclusions and Recommendations. Methods used could include:

9.10.1. The design of the investigation.

a. When there is a choice of using different methods available, explain the reasons for choosing a particular method of investigation over other methods.

9.10.2. Sources of information used for the investigation. This could include:

a. Background reading

b. Process observations

c. Forecasting, risk analysis

d. Analysis and deductions from records – scrutinize logs, error messages, and other relevant data to identify patterns or anomalies.

9.10.3. Description of work done – the work process

a. Gather evidence through document review, site visits, interviews, or tests.

b. Identify the root cause using techniques like the 5 Whys, fishbone diagrams, or other root cause analysis tools.

c. Take photos, videos, and notes of events

d. Significant discussions with people

e. Interview witnesses.

f. Research and references, including:

i. Study of films, photos, videos.

ii. Time and methods study.

iii. Experiments and tests.

9.10.4. Equipment used.

9.10.5. The persons involved in performing the investigations.

9.10.6. Data collection, organization, verification and validation.

9.10.7. Evaluation and analysis techniques.

9.11. Data, Analysis & Results

9.11.1. Data obtained, the information we first obtain from the investigation, will depend on the method used. It can be qualitative or quantitative.

a. Qualitative data describes some quality of the investigation findings and it is:

i. Subjective – different persons can understand it differently.

ii. Descriptive – terms and phrases describe traits and characteristics.

iii. Interpretive – it can be interpreted in different ways.

iv. Conceptual – it is not definite – still undefined and unclear.

v. Exploratory – there can be more than one possible outcome.

vi. Qualitative data is classified according to quality features, attributes, properties, and other identifiers.

vii. It is typically, data is unstructured or semi-structured. There can be overlap of data.

b. Quantitative data measures some parameter of the investigation findings. The data is:

i. Objective – different persons will understand it similarly.

ii. Measurable and Countable – numbers will explain the feature or finding.

iii. To-the-point – it cannot be interpreted in different ways.

iv. Concrete – the data is definite and not ambiguous.

v. Conclusive – the outcome is definite with common understanding by all.

vi. Quantitative data is identified by its measurement.

- vii. Quantitative data is structured – every data is unique without overlapping into another data.
- 9.11.2. Data must be reliable with integrity and quality.
 - a. Data integrity needs to be ensured – it refers to the trustworthiness of the data, regarding:
 - i. Source: Is the data source reliable?
 - ii. Skill: Is the person providing the data reliable?
 - iii. Process: Was the investigation and data collection carried out according to reliable methods?
 - iv. Decay: Was the data collected in a timely manner, not allowing for data decay?
 - v. Environment: Could the environmental and operational conditions have corrupted the data?
 - vi. Corruption: Could stored data have become corrupted or compromised over time?
 - vii. Manipulation: Could the data have been tweaked?
 - viii. Sensibility: Does the data make sense? Is it logical and reasonable?
 - ix. Traceability: Is the data traceable to its originating source.
 - x. Legality: Was the data collected legally? Are there any laws that govern this data collection? Was privacy respected?
 - b. Data quality refers to the usefulness of the data; whether the data is suitable for our purpose., regarding:
 - i. Accuracy: Does the data reflect the actual situation?
 - ii. Precision: Do we get the same data if collected consequently.
 - iii. Completeness: Did we collect data over the whole range of investigations?
 - iv. Up-To-Date: Are we getting the latest data? Could things have changed by now?
 - v. Relevancy: Is the data relevant to the investigation? Is this the data we need? Can it be useful for our purpose?
 - vi. Uniqueness: The data should be from a particular investigation, and not another similar investigation.
 - vii. Validity: Has the data been checked and validated. Otherwise, who is responsible for it.
- 9.11.3. Data Quantity – the more data there is, the more reliable will the analysis and decisions be. However, there is cost in terms of resources and time to collect more data. The Investigation Team would decide on balancing between data quantity, data cost and reliability of analysis and decisions.
- 9.11.4. Data Collection – depends on methods used – could be from observations, interviews, measurements and other methods:
 - a. Manual Data Collection is subject to human error during collection and recording. Care must be taken.
 - b. Auto Data Collection is subject to machine error. Care must be taken.
- 9.11.5. Data Reliability – the reliability of the data will depend on the reputation of or experience with the data source, as well as experience with the accuracy of previous data.
 - a. Data source reliability can be graded as follows:

- i. Reliable – No doubt about the source's authenticity, trustworthiness, or competency. History of complete reliability.
 - ii. Usually reliable – Minor doubts. History of mostly valid information.
 - iii. Fairly reliable – Doubts. Provided valid information in the past.
 - iv. Not usually reliable – Significant doubts. Provided valid information in the past.
 - v. Unreliable – Lacks authenticity, trustworthiness, and competency. History of invalid information.
 - vi. Cannot be judged – Insufficient information to evaluate reliability. May or may not be reliable.
- 9.11.6. Based on this grading, the investigation team leader shall determine how to use such data, and if further data needs to be collected, and if other sources should be used.
- 9.11.7. Data Review & Cleaning – data shall be reviewed, and any suspicious data will be re-confirmed and evaluated and if necessary removed.
- 9.11.8. Data Validation – before analysis, data shall be validated for processing.
 - a. Validation of data shall be indicated in the Investigation Report.
- 9.11.9. Data Compilation & Presentation – data could be presented in different ways depending on the data type and needs, such as:
 - a. Raw data – numbers or statements or explanations.
 - b. Arranged data – bullet forms or tables.
 - c. Image data – pictures, drawings, diagrams, sketches.
 - d. Audio or Video data – audio or video clips.
 - e. Compiled data – charts and graphs.
 - f. Analysed data – statistics.
- 9.11.10. Data Analysis will depend on the type and quantity of data.
 - a. Descriptive analysis – we look at WHAT HAPPENED. We study the data and its properties like mean, variation, distribution, probabilities, confidence, trends, and behaviour in our analysis.
 - b. Diagnostic analysis – we look at WHY IT HAPPENED. From the information of descriptive analysis, and our knowledge of the process, product and environment, we can now analyse why the event took place.
 - c. Predictive analysis – we look at WHAT MAY HAPPEN. By understanding what happened and why it happened, we can further analyse and say what else may happen in future.
 - d. Prescriptive analysis – we look at WHAT HAS TO BE DONE. From the above three analyses, we can now analyse what actions we could take that will successfully produce what we want.
- 9.11.11. Analysis Results will depend on the analysis – from the results, conclusions and decisions will be made; therefore, results should be pointed towards making conclusions.
 - a. Results are the findings from the analysis, that could be:
 - i. Passed or Failed outcomes – e.g. proposal accepted or rejected.
 - ii. Not applicable, Not tested, Pre-qualified decisions.
 - iii. Values – continuous and discrete.
 - iv. Statistics derived from those values.
 - v. Time series of values at different times.

- vi. Frequency and Probability distributions.
- vii. Multi-variables relating variables like scatter plots, correlation tables, regression analysis, extrapolations and curve fittings.
- viii. Array results of vector and matrix outputs.

9.11.12. Discussion on Results:

- a. The Investigation Team shall review and discuss on the results of analysis.
- b. Other experts, decision makers or stakeholders may need to be included.
- c. Where permissible, results may need to be shared.
- d. Brainstorming may be needed when decision making is subjective.
- e. Sometimes intuitive conclusions could be made based on experience and expertise.

9.12. Other sections as may be required – the Investigation Team may create other sections in the Investigation Report if necessary to discuss or present matters not included in this procedure.

9.13. Conclusions & Recommendations: Can be written together or separately depending on the extent of details.

9.13.1. Conclusions – reason and logic is used to draw the conclusions.

- a. Conclusions can be direct or derived from a series of deductive steps.
- b. Conclusions should:
 - i. Summarize the Investigations.
 - ii. Reinforce the Main Messages (if there are any Main Messages).
 - iii. Tie Up Everything
 - iv. State if investigation purpose has been achieved
 - v. Provide a collective or holistic picture of what the findings and analyses mean – what can we see from all of them.
 - vi. Make inferences and deductions
 - vii. Make an impact.
 - viii. Link with the Executive Summary:
 - ix. Lead to the Recommendations
 - x. Crystallize the Recommendations
 - xi. Customize for the Audience
- c. There could be data and results that are not used for making the conclusions – the reasons for not including them should be explained to avoid biased conclusions.
- d. Any conclusion should be based on the results – conclusions beyond the hard facts and results should not be made.
- e. When tying up the findings in the conclusions, new information not previously investigated and its results confirmed should not be introduced – this could be interpreted as biased conclusions.

9.13.2. Recommendations – reason and logic is used to draw the conclusions.

- a. Not all reports have recommendations.
- b. The recommendations should follow smoothly from the conclusions.
- c. Recommendations lead to decisions that could have significant impacts. Therefore, types of recommendations are:
 - i. Recommendations made by the Investigation Team only.
 - ii. Recommendations that is validated by another higher authority, expert or stakeholder.

- iii. Recommendations are not made – only the results are presented. In this case, even conclusions may not be made.
- d. Recommendations should:
 - i. Explain what should be done to resolve the matters being investigated.
 - ii. Follow on naturally from the conclusions.
 - iii. Be clear and comprehensive.
 - iv. Be straightforward.
 - v. Be brief, and to the point.
 - vi. Be rationalized, especially when there are many issues to consider.
- e. New information from other investigations can be included in the recommendations, to tie together various investigations.
- f. New analysis should not be included in the recommendations – it should be done before conclusions.

9.14. References:

- 9.14.1. References to international, regional, national and industry standards, to MTCC policies, procedures and instructions, to Malaysian government guidelines, journals, literature, websites, films, papers and other references shall be made as appropriate here.
- a. References, and Methods Used, reflect professionalism and competencies.

9.15. Acknowledgements – are to recognize the contributions of others towards the investigations, the findings and report

9.16. Appendices (if appropriate) – when there is data and other information that could be included in the body of the report, but because it is extensive, it should be included as appendices.

9.17. Attachments (if appropriate) – when some of the report audience need additional information to understand the report, which industry persons will easily understand, such literature and information could be included as attachments.

10. CNS shall:

10.1. Ensure, during the investigation, data collection, analysis and conclusions, that the objectives of the investigations have been achieved.

10.2. Address the issues raised by the Complaint & Nonconformity Report and Request for Investigation in the Conclusions and Recommendations.

10.3. If it is required for MTCC to act on the Investigation Report, initiate the necessary activities.

- 10.3.1. CNS may issue a CAR should the findings of the Investigation & Reporting recommend it.

10.4. Distribute the Investigation Report to the appropriate stakeholders.

10.5. Update the CNIDR and close the investigation.

11. **Disagreement, Contention & Disputation:** CNS shall initiate a repeat of this procedure using the same registration and report number, should the complainant or stakeholder:

11.1. Reject the findings of the investigations, and

11.2. Requests for further investigations, and

11.3. Provides such reliable information to justify further investigations, and

11.4. Can satisfy CNS why this information was not provided during the early stages of this procedure.

12. CNS shall initiate the Dispute Management & Resolution Procedure should the complainant or stakeholder:

12.1. Reject the findings of the investigations, and

- 12.2. Request for resolving the rejection through the Dispute Management & Resolution Procedure, and
- 12.3. Can satisfy CNS why the issue cannot be resolved without resorting to the Dispute Management & Resolution Procedure.

H. RECORDS

TITLE	FORM NO.	RETAINED BY	MIN. RET. PERIOD	REMARKS
1. Request for Investigation				
2. Investigation Report				

	Malaysian Timber Certification Council	Request for Investigation	RIN	Seq #	Investig ation Type	Reques ter	Team Head	
Recd. From:		Name _____ Organization _____		Date Recd. _____				
What Needs to be Investigated								
Request Approval By CEO								
		<u>COMPLETENESS OF INFORMATION</u>				CNS Verified _____ Date _____		
	Y	N						
Relevant								
Specific								
Clear								
Evidential								
Verifiable								
Actionable								
Request Information								
What are the Investigation Objectives								
Who are the Beneficiaries of the Investigation & How Do They Benefit								
		<u>INVESTIGATION FEASIBILITY</u>				CNS Verified _____ Date _____		
Resources								
Expertise & Skills								
Time Frame								
Budget								
Data Availability								
Stakeholder Support								
Legal Issues								
Risk Assessment								
Impact								
Investigation Approval By CEO								
		<u>Startup Team</u>				<u>Work Breakdown Structure</u>		
Name	_____	_____	_____	_____	Completed			
Function	_____	_____	_____	_____	Verified By			
		<u>Investigation Team</u>						
Name	_____	_____	_____	_____	_____	_____	_____	
Function	_____	_____	_____	_____	_____	_____	_____	

Collaborators			
Investigation Priority	Invest Request By	Invest Rep No.	Date
Conclusions			
Recommendations			
Inform Stakeholders	Close		

DRAFT

WORK BREAKDOWN & GANTT CHART

WORK BREAKDOWN STRUCTURE						GANTT CHART – Fortnightly																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																														
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	43.	Ballot M.C speech for review					
	44.	Amend M.C speech					
	45.	Print M.C speech					
N	46.	Design NMA staffs badge					
	47.	Ballot badge design for review					
	48.	Amend badge					
	49.	Print badge					
	50.	Laminate badge					
	51.	Prepare artwork (Supplier)					
	52.	Print Name Card					
	53.	Collect & distribute Name Card					
T	54.	Organize lecture hall					
U	55.	Conduct presentation					
V	56.	Source for plastic envelope					
W	57.	Draft poster for notice board					
	58.	Ballot poster for review					
	59.	Amend poster					
	60.	Print poster					
	61.	Post to K.B					
	62.	Display poster on Notice Board					

[SAMPLE OF REPORT]



Malaysian Timber
Certification
Council

Report No:

Issue Date:

Revision:

Earlier
reports:

TROPICAL FOREST RESTORATION & REHABILITATION MANAGEMENT

An initial investigative study of the _____ in the _____.

There is reliable evidence that rehabilitation is substantially lacking and requires detailed studies to determine the extent of breach of the concession terms

This document is intended for authorized staffs of the Malaysian Ministry of Plantations & Commodities. If you are not an intended recipient, please erase this document from your system and inform admin@mtcc.com.my

Reported By:

Sponsor:

Authorized
by:

[SAMPLE OF REPORT]



Malaysian Timber
Certification
Council

Report No:

Issue Date:

Revision:

Earlier
reports:

UNAUTHORIZED USAGE OF PEFC LABEL BY ABC SDN BHD ON ITS PRODUCTS

ABC Sdn. Bhd. is not a MTCS/PEFC certified company that has been using the logo for the past 6 months on products 30% local consumption and 70% exported to Europe

ABC Sdn Bhd has removed labels on its inhouse stock, and is now rushing through certification; document audit is successfully completed.

This document is intended for authorized staffs of xxxxxxxxxx. If you are not an intended recipient, please erase this document from your system and inform admin@mtcc.com.my

Reported By:

Sponsor:

Authorized
by:

- 1.1. Main Message:
 - 1.1.1. When the report is extensive with a wide range of issues, a summary of reporting on those issues will be useful for stakeholder to understand the report without having to read it in its entirety. This subjective decision shall be made by the Investigation Team.
- 1.2. Contents List:
 - 1.2.1. The report headings and their page numbers.
- 1.3. Definitions:
 - 1.3.1. Explanations of uncommon terms used in the report.
- 1.4. Abbreviations & Acronyms:
 - 1.4.1. Abbreviations are short-forms of longer words, like 'stats' for 'statistics'.
 - 1.4.2. Acronyms are first letters of a term or forms of words or phrases that are pronounced as a word and are made up of parts of the phrase they stand for.
- 1.5. Executive Summary:
 - 1.5.1. A summary of the report to answer decision makers questions and for them to make decisions, without having to go through the detailed report. It will include the purpose, important causes for the investigations, findings, results, conclusions and recommendations.
- 1.6. Purpose:
 - 1.6.1. What are the objectives of the investigation and report.
- 1.7. Scope:
 - 1.7.1. What is included in the investigation and report. And what is excluded in the investigations though it is expected to be included.
 - 1.7.2. Scope Exclusions: When there are requirements in the standards, operating procedures and instructions, Scope of Work or Terms of Reference, or identified during problem solving processes, research, innovation or practised by the industry, and these requirements are not in the report, this case on non-compliance shall be separately stated in this section. Reasons for non-compliance shall be stated.
 - 1.7.3. If Action Required: If it is possible to improve the report to comply with requirements by further actions, resources, support, it should be stated here.
- 1.8. Background & Introduction: Can be written together or separately depending on the extent of details.
 - 1.8.1. Background: Some earlier events that caused the purpose of investigation and reporting – justification for the purpose.
 - 1.8.2. Introduction: Introduction sets the scene, like:
 - a. Planning for the investigation.
 - b. Preparations made.
 - c. Risk management.
 - d. Alternative plans.
 - e. Types of information in the report.
 - f. Whether the reader needs to do something before continuing to read.
- 1.9. Methods used – what was done to get the Data, that is then Analysed to get Results to make Conclusions and Recommendations. Methods used could include:
 - 1.9.1. The design of the investigation.
 - a. When there is a choice of using different methods available, explain the reasons for choosing a particular method of investigation over other methods.

- 1.9.2. Sources of information used for the investigation. This could include:
 - a. Background reading
 - b. Process observations
 - c. Forecasting, risk analysis
 - d. Analysis and deductions from records – scrutinize logs, error messages, and other relevant data to identify patterns or anomalies.
- 1.9.3. Description of work done – the work process
 - a. Gather evidence through document review, site visits, interviews, or tests.
 - b. Identify the root cause using techniques like the 5 Whys, fishbone diagrams, or other root cause analysis tools.
 - c. Take photos, videos, and notes of events
 - d. Significant discussions with people
 - e. Interview witnesses.
 - f. Research and references, including:
 - i. Study of films, photos, videos.
 - ii. Time and methods study.
 - iii. Experiments and tests.
- 1.9.4. Equipment used.
- 1.9.5. The persons involved in performing the investigations.
- 1.9.6. Data collection, organization, verification and validation.
- 1.9.7. Evaluation and analysis techniques.
- 1.10. Data, Analysis & Results
 - 1.10.1. Data obtained, the information we first obtain from the investigation, will depend on the method used. It can be qualitative or quantitative.
 - a. Qualitative data describes some quality of the investigation findings and it is:
 - i. Subjective – different persons can understand it differently.
 - ii. Descriptive – terms and phrases describe traits and characteristics.
 - iii. Interpretive – it can be interpreted in different ways.
 - iv. Conceptual – it is not definite – still undefined and unclear.
 - v. Exploratory – there can be more than one possible outcome.
 - vi. Qualitative data is classified according to quality features, attributes, properties, and other identifiers.
 - vii. It is typically, data is unstructured or semi-structured. There can be overlap of data.
 - b. Quantitative data measures some parameter of the investigation findings. The data is:
 - i. Objective – different persons will understand it similarly.
 - ii. Measurable and Countable – numbers will explain the feature or finding.
 - iii. To-the-point – it cannot be interpreted in different ways.
 - iv. Concrete – the data is definite and not ambiguous.
 - v. Conclusive – the outcome is definite with common understanding by all.
 - vi. Quantitative data is identified by its measurement.
 - vii. Quantitative data is structured – every data is unique without overlapping into another data.
 - 1.10.2. Data must be reliable with integrity and quality.
 - a. Data integrity needs to be ensured – it refers to the trustworthiness of the data, regarding:

- i. Source: Is the data source reliable?
 - ii. Skill: Is the person providing the data reliable?
 - iii. Process: Was the investigation and data collection carried out according to reliable methods?
 - iv. Decay: Was the data collected in a timely manner, not allowing for data decay?
 - v. Environment: Could the environmental and operational conditions have corrupted the data?
 - vi. Corruption: Could stored data have become corrupted or compromised over time?
 - vii. Manipulation: Could the data have been tweaked?
 - viii. Sensibility: Does the data make sense? Is it logical and reasonable?
 - ix. Traceability: Is the data traceable to its originating source.
 - x. Legality: Was the data collected legally? Are there any laws that govern this data collection? Was privacy respected?
- b. Data quality refers to the usefulness of the data; whether the data is suitable for our purpose., regarding:
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 - vii. Multi-variables relating variables like scatter plots, correlation tables, regression analysis, extrapolations and curve fittings.
 - viii. Array results of vector and matrix outputs.
- 1.10.11. Discussion on Results:
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 - b. Other experts, decision makers or stakeholders may need to be included.
 - c. Where permissible, results may need to be shared.
 - d. Brainstorming may be needed when decision making is subjective.
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 - iv. Be straightforward.
 - v. Be brief, and to the point.
 - vi. Be rationalized, especially when there are many issues to consider.
 - e. New information from other investigations can be included in the recommendations, to tie together various investigations.
 - f. New analysis should not be included in the recommendations – it should be done before conclusions.
- 1.13. References:
- 1.13.1. References to international, regional, national and industry standards, to MTCC policies, procedures and instructions, to Malaysian government guidelines, journals, literature, websites, films, papers and other references shall be made as appropriate here.
- a. References, and Methods Used, reflect professionalism and competencies.
- 1.14. Acknowledgements – are to recognize the contributions of others towards the investigations, the findings and report

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DRAFT

DISPUTE MANAGEMENT & RESOLUTION PROCEDURE

A. POLICY

1. The Malaysian Timber Certification Council (MTCC) has the mandate to develop and operate the Malaysian Timber Certification Scheme (MTCS), to ensure the sustainable management of Malaysia's forest resources and to meet the market demand for certified timber products.
2. While it is often beneficial to question, challenge and revisit prevailing practices, norms and even paradigms of this mandate to continually improve its effectiveness, it is detrimental to attempt achieving this in an environment of confrontation, dispute, arbitration and litigation.
3. MTCC is also interested in resolving conflicts through dialogue with and between parties before escalating it to mediation, arbitration and litigation.
4. MTCC shall therefore establish a structured alternative dispute resolution (ADR) process designed to address disagreements and disputes effectively and equitably among and with its stakeholders, upholding the principles of transparency, impartiality, fairness, and timeliness.
5. MTCC is committed to ensure the confidentiality of information shared by disputants, corroborators and other stakeholders in this matter, at its appropriate confidentiality level.

B. PURPOSE

1. The purpose of this procedure is to define the methods that MTCC shall employ to resolve disputes among and with its stakeholders, in an amicable, collaborative and cooperative manner, ensuring fairness and transparency for all parties involved.

C. SCOPE

1. This procedure applies to the:
 - 1.1. Reference of disputes to be processed by this procedure and the preparations for the resolutions of those disputes.
 - 1.2. The different options of dispute resolution and the progressions through those options.
 - 1.3. The collection, review, presentation and compilation of information and evidence on the dispute and related issues.
 - 1.4. The considerations for managing disputants and dispute resolution.
 - 1.5. The decisions, conclusions and closure of the dispute resolution process.
 - 1.6. The readiness for making witness statements when required.
2. This procedure does not apply when disputes are being managed by another authority and MTCC is a disputing party. (CAN THIS SITUATION HAPPEN)

D. DEFINITIONS

1. Malaysian Timber Certification Scheme:
 - 1.1. The Malaysian Timber Certification Scheme (MTCS) is a voluntary national certification program of Malaysia, operated by the Malaysian Timber Certification Council (MTCC), as its National Governing Body, and designed to ensure that timber products from Malaysia are sourced from sustainably managed forests.
2. Contend (Contention):
 - 2.1. Contention refers to a point or an argument that someone makes in a dispute. It's more about the subject of the disagreement. For example, in a debate about climate change, one person's contention might be that human activities are the primary cause.
 - 2.1.1. Contention is the "what" is being disputed about.
3. Dispute (Disputation):

- 3.1. Disputation refers to the act of arguing or debating itself; it is the process of discussing and contesting different views. So, in the dispute about climate change, the disputation would be the back-and-forth arguments and discussions between the parties involved.
 - 3.1.1. Disputation is the "how" of the disputation process.
4. Substantive Issues:
 - 4.1. Substantive issues refer to the core matters or essential points of a dispute that need to be resolved – that are concerned with the actual rights, obligations, and interests of the parties involved.
5. Procedural Issues:
 - 5.1. Procedural issues refer to the rules, methods and processes used to manage and resolve the dispute while ensuring a fair, efficient and orderly resolution, protecting the rights of all parties involved and upholding the integrity of the methods used.
6. Claimant:
 - 6.1. The claimant (or plaintiff) is the party that initiates the claim and disputation against the respondent (or defendant), seeking a remedy to alleged harm, loss or wrong.
7. Respondent:
 - 7.1. The respondent (or defendant) is the party against whom a claim or complaint is made and is required to respond to the allegations or demands set forth by the claimant.
8. Disputant:
 - 8.1. Disputant is the common term used to refer to the claimant or respondent.
9. Corroborator:
 - 9.1. A corroborator is someone who provides additional evidence or testimony to support a claim or statement made by one of the disputants, helping to verify and strengthen the credibility of the information presented.
10. Noise:
 - 10.1. Noise are factors, distractions, or disturbances that interfere with clear communication and effective resolution of the dispute and can significantly impact the dispute resolution process, and can come from various sources.
11. Negotiation:
 - 11.1. Negotiation in dispute resolution is a process in which the involved parties communicate directly with each other to reach a mutually acceptable agreement without the need for a third party or formal legal proceedings.
12. Neutral evaluation:
 - 12.1. Neutral evaluation is where an impartial third party, known as the evaluator, typically knowledgeable in the related field, assesses the strengths and weaknesses of each party's case, helping both parties gain a realistic understanding of the merits of their positions, which can facilitate dispute resolution.
13. Facilitation:
 - 13.1. Facilitated dispute resolution is a process where an impartial third party, the facilitator, helps the disputing parties communicate more effectively and work towards a mutually acceptable resolution, by guiding the discussion, keeping it constructive, and ensuring that all parties have an opportunity to express their views and concerns, without proposing solutions.
14. Mediation:
 - 14.1. Mediation is where a neutral third party, called a mediator, helps disputing parties communicate and negotiate to reach a voluntary, mutually acceptable resolution, proposing solutions when appropriate, facilitating and helping the disputants identify and explore potential solutions.

15. Arbitration:
- 15.1. An independent arbitrator makes a binding decision on how to resolve the dispute, conducted according to the Malaysian Arbitration Act (2005).
16. Litigation:
- 16.1. Litigation is the process of resolving disputes through the court system, where the disputants present their case to a judge who then makes a binding decision based on the evidence and arguments presented.
17. Board of Trustees (BOT):
- 17.1. The MTCC Board of Trustees is appointed by the Malaysian Ministry of Plantations & Commodities and acts as the guardian of MTCC, ensuring MTCC remains true to its mission and operates sustainably and ethically, contributing with:
- 17.1.1. Governance and Oversight: Ensuring MTCC adheres to its mission, values, and legal obligations.
- 17.1.2. Strategic Planning: Setting the long-term goals and strategic direction of MTCC.
- 17.1.3. Financial Stewardship: Overseeing the financial health of MTCC, including budgeting, fundraising, and investment management.
- 17.1.4. Policy Development: Establishing policies and procedures to guide MTCC's operations.
- 17.1.5. Executive Management: Hiring, supporting, and evaluating the performance of MTCC's chief executive officer.
- 17.1.6. Resource Mobilization: Helping to secure resources, including cultivating relationships with stakeholders.
- 17.1.7. Risk Management: Identifying and mitigating potential risks to MTCC.
- 17.1.8. Accountability: Ensuring transparency and accountability to stakeholders.
18. Dispute Resolution Committee (DRC):
- 18.1. The BOT establishes the DRC and appoints its members based on their:
- 18.1.1. Competency: Their knowledge and experience in sustainable forest management, ecology, forestry, sociology and the industries related to the forest and forest products.
- 18.1.2. Impartiality: The ability to remain neutral and unbiased.
- 18.1.3. Strong Communication Skills: The ability to articulate, write, record and communicate effectively with all parties in a dispute.
- 18.1.4. Empathy: The ability to understand and relate to the emotions and needs of the disputing parties involved and foster trust and cooperation.
- 18.1.5. Problem-Solving Skills: The ability to find mutually acceptable solutions.
- 18.1.6. Patience and Composure: The ability to stay calm and composed, especially in heated situations, to guide the process smoothly.
- 18.1.7. Attention to Detail: The ability to carefully consider all facts and evidence before making a decision.
- 18.1.8. Negotiation Skills: The ability to negotiate and facilitate discussions to reach a resolution.
- 18.1.9. Ethical Integrity: The ability to adhere to ethical principles and maintain confidentiality.
- 18.2. The DRC is mandated to consider and resolve disputes referred to it by CNS via the BOT.
- 18.3. The current members of the DRC are as per Appendix 1.

E. ABBREVIATIONS

1. CNS: Complaints & Nonconformity Secretariat.
2. BOT: Board of Trustees of the MTCC.
3. DRC: Dispute Resolution Committee.
4. DRS: Dispute Resolution Secretariat.
5. DMR: Dispute Management & Resolution form
6. DCR: Disputant Consent & Responsibilities form
7. MTCS: Malaysian Timber Certification Scheme.
8. MTCC: Malaysian Timber Certification Council.
9. NGB: National Governing Body.

F. PREAMBLE

1. CNS shall be responsible for the control and execution of this procedure.
2. The Complaints & Nonconformity Management Procedure provides the venues by which stakeholders can bring to the attention of MTCC issues that could be referred for dispute resolution according to this procedure, such as:
 - 2.1. On the MTCC website – the menu provides page(s) for stakeholder to lodge their requests, complaints and nonconformity issues.
 - 2.2. By email, messaging or hardcopy to the CNS – contact details to CNS are provided on the MTCC website.
 - 2.2.1. Instructions are also provided on the MTCC website on the details required for MTCC to act.
3. The issues to be managed by dispute resolution will initially be investigated according to the following procedures:
 - 3.1. Complaints & Nonconformity Management Procedure.
 - 3.2. Corrective Actions Procedure.
 - 3.3. Investigation & Reporting Procedure.
 - 3.3.1. The findings of any one of these 3 procedures could:
 - a. Recommend dispute resolution.
 - b. Be rejected by the stakeholders who thereafter request for dispute resolution.
4. CNS may also initiate this procedure when:
 - 4.1. Disputes between stakeholders are referred to MTCC for resolution.
 - 4.2. A stakeholder, disputing with MTCC, requests for MTCC to resolve the dispute according to this procedure.

G. PROCEDURE

1. CNS shall open the Dispute Management & Resolution form (Form) after:
 - 1.1. Receiving notice:
 - 1.1.1. Rejecting the findings, fully or partially, of the Complaints & Nonconformity Management Procedure or the Corrective Action Procedure or the Investigation & Reporting Procedure, from the complainant or stakeholder.
 - 1.1.2. Requesting for resolving the rejection through the Dispute Management & Resolution Procedure, and
 - 1.1.3. Satisfying CNS that the issue requires the Dispute Management & Resolution Procedure for resolution.
 - a. The **complainant** referred to in these earlier procedures would be referred to as **claimant** in dispute resolution.

- 1.2. Confirming that further investigation and reporting at this stage will not resolve the issues involved, OR.
- 1.3. The CEO requests for the Dispute Management & Resolution form (Form) to be opened that may happen when:
 - 1.3.1. Disputing parties refer themselves to MTCC or are referred to MTCC by other stakeholders.
 - 1.3.2. Parties disputing with MTCC request for resolution through this procedure.
 - a. The CEO shall determine which disputes MTCC will manage, and for those disputes outside of MTCCs ambit, will point the referents to the appropriate institutions, when possible.
2. The Dispute Management & Resolution form (Form) shall be numbered as follows and registered in the CNIDR:
 - 2.1. DMR – identification as Dispute Management & Resolution.
 - 2.2. Claimant Stakeholder Number from the MTCC Stakeholder Register.
 - 2.3. Disputant Stakeholder Number from the MTCC Stakeholder Register.
 - 2.4. Dispute Sequence Number when there are subsequent disputes between the same parties.
3. CNS shall classify the dispute being referred to it as dispute between:
 - 3.1. MTCC stakeholders, such as certificate holders, certifying bodies, accreditation bodies.
 - 3.2. MTCC and a stakeholder, on such issues of dissatisfaction on how MTCC is implementing the MTCS.
 - 3.3. Parties referred to MTCC by
 - 3.4. Parties that desire and have mutually agreed to seek the expertise of MTCC to manage the dispute.
4. CNS shall inform, both the claimant and respondent, that MTCC has initiated its Dispute Resolution Procedure, and obtain their consent to be subjected to this procedure in the Disputant Consent & Responsibilities form (DCR) (Form).
 - 4.1. The DCR will be numbered the same as the DMR, except that it is prefixed as DCR instead of DMR.
 - 4.2. Should one or all disputing parties insist to go immediately to mediation, without going through the negotiation, neutral evaluation, and facilitation processes, CNS shall inform them of the need and benefits of going through these stages, which are as follows:
 - 4.2.1. Negotiation: Parties are given the opportunity to resolve the issue themselves in an organized, formal environment, that may not have been attempted before. This would make them understand one another's contentions better, and could resolve the issue at its earliest.
 - 4.2.2. Neutral Evaluation: The merits and demerits of each disputant's case is objectively evaluated by CNS and shared with the disputants; this information could lead to an early resolution of the dispute or will be useful for the later mediation process.
 - 4.2.3. Facilitation: The open and amicably managed discussions could reveal further information that could lead to an early resolution of the dispute or will be useful for the later mediation process.
 - 4.3. If parties do not agree to these progressive stages towards mediation, CNS shall:
 - 4.3.1. Record such requests and responses in the Dispute Management & Resolution form (Form),
 - 4.3.2. Not continue the dispute resolution process and inform the parties as such.
 - 4.3.3. Advise the disputants to seek other resolution processes.

5. Confidentiality: CNS (and DRS later) shall mark the various types of information being compiled in this procedure for its confidentiality:
 - 5.1. No Confidentiality: Information that does not require confidentiality treatment shall not be marked. Absence of confidentiality marking shall mean there is no confidentiality requirements in this information.
 - 5.1.1. No confidentiality will typically apply to information of:
 - a. Public Proceedings: The dispute resolution process is conducted publicly (e.g., press releases by disputants).
 - b. Transparency Requirements: Transparency is required for accountability or regulatory purposes.
 - c. Lack of Agreement: Parties have not agreed to confidentiality provisions.
 - 5.2. Confidentiality with Exceptions: This information, while being confidential, are exempted when disclosure is allowed or required by law or legal obligations – marked as CE.
 - 5.2.1. CE will typically apply to information of:
 - a. Legal Exceptions: Disclosure is required by law or other legal obligations.
 - b. Agreed Exceptions: Parties have agreed to specific scenarios where confidentiality can be breached.
 - c. Public Interest: There is a significant public interest in the disclosure of the information.
 - 5.3. Limited Confidentiality: Certain information may be shared with specific individuals or entities, such as legal representatives or other necessary parties, but it is still protected from public disclosure – marked as CL.
 - 5.3.1. CL will typically apply to information of:
 - a. Necessary Disclosure: Certain information needs to be shared with specific individuals for the resolution process (e.g., mediators, corroborators, expert witnesses).
 - b. Consent: Parties have consented to limited sharing of information.
 - c. Operational Needs: Information is shared with BOT, CEO, DRC, DRMs and CNS or other authorized personnel involved in the dispute resolution process.
 - 5.4. Full Confidentiality: All communications, documents, and information shared during the dispute resolution process are kept completely confidential and cannot be disclosed to anyone outside the process, including in court proceedings, unless ordered by the court – marked as CF.
 - 5.4.1. CF will typically apply to information of:
 - a. Private Nature: The dispute involves highly sensitive corporate and/or personal matters.
 - b. Legal Requirements: The law mandates that the information must remain confidential, including the requirements of the Personal Data Protection Act (PDPA) (2010) and privileged information provided to the BOT, CEO, DRC, DRMs and CNS.
 - c. Agreements: Parties have agreed to keep all communications and documents confidential.
 - d. Protection of Reputations: The information could harm the reputations of the parties involved if disclosed.
 - 5.5. Waiving of Confidentiality Rights:
 - 5.5.1. Parties may waive their confidentiality rights at their discretion to pursue the dispute resolution.

- 5.5.2. When parties to the dispute or their representatives or corroborators go public with press releases, social media, audio/video releases on the internet, it shall be interpreted that they have waived their right to confidentiality, since other parties may progressively release more and more confidential information.
- 5.6. Disputant Consent & Responsibilities form (Form) shall include responsibilities for confidentiality.
6. CNS shall compile all information available to it regarding the dispute. This could include:
- 6.1. The Complaint & Nonconformity Report, the Corrective Action Report, the Request for Investigation form, and the Investigation Report.
 - 6.2. Correspondences with relevant stakeholders and information provided.
 - 6.3. Privately provided information from the disputants and corroborators.
 - 6.4. Publicly available information on websites, news publications and portals, press releases.
 - 6.5. Other sources of information that may be needed to pursue the dispute resolution process.
7. CNS shall ensure that all information obtained is SCAVER:
- 7.1. Specific – about the issues being disputed about, while taking note of general information being provided by the disputants to better understand the intangible causes of the dispute.
 - 7.2. Clear – the information must be clearly articulated. The flow of thoughts leading to the dispute must be correctly sequenced for CNS and others involved to have a clear understanding of the issues without confusion.
 - 7.3. Actionable – the disputants should avoid bringing up issues that cannot be acted upon because of legal limitations, the environment and nature, social sensitivity, government policies or other valid reasons.
 - 7.4. Verifiable – it should be possible to verify the information and evidence being provided.
 - 7.5. Evidential – there must be evidence of the issue being disputed about.
 - 7.6. Relevant – to the issues being disputed about.
8. CNS, with the information thus far obtained as background, shall interview the disputing parties and corroborators to learn and understand more about the contentions and surrounding issues.
- 8.1. The Disputant & Corroborator Interview Guide (Appendix) shall be used as a basis for the interview.
9. CNS shall separate the contending issues into:
- 9.1. Substantive issues, where the parties address the core issues involved, such as:
 - 9.1.1. Legal Rights and Obligations of the parties based on applicable laws, contracts, or agreements.
 - 9.1.2. Material Facts of the matter that directly affect the outcome of the dispute.
 - 9.1.3. Claims and Defences made by the parties.
 - 9.1.4. Merits of the Dispute – the actual substance and evidence presented by the parties to support their positions.
 - 9.1.5. Outcome Determination – such as conclusions, recommendations and decisions to arrive at a settlement.
 - 9.2. Procedural issues, where the parties are dissatisfied with the methods of resolution used thus far, such as:
 - 9.2.1. Authority – the issues were heard and decided by unauthorized persons or authorities.
 - 9.2.2. Correspondence & Communication – the correspondences and communications were not clear, the methods were incorrect, caused misunderstandings and misinterpretations.

- 9.2.3. Timelines – too little time was given for preparations. Parties took too long, frequent postponements, issues got muddled up, witnesses were confused over time.
- 9.2.4. Evidence and Discovery – irrelevant evidence was given weight, insufficient evidence for fair decisions, information about evidence was not shared prior to hearings, evidence was shared very late in the process, hearsay evidence was not substantiated but given weight.
- 9.2.5. Hearings and Interactions – hearings were conducted in a disorderly manner, insufficient time given to present the case, persons hearing the issue were not competent, there was evident bias during the hearings, witnesses took over the hearings, witnesses were uncooperative.
- 9.3. Reputational Issues, where the parties were more interested in using the dispute resolution platform to boost their reputations, such as publicity stunts, and pressured the other party:
 - 9.3.1. Media Coverage – parties did not have equal access to media coverage of the issues, damaging the reputation of one party, who now wants to be heard again.
 - 9.3.2. Public Demonstrations – parties had used public demonstrations to pressure the facilitators or mediators for a favourable decision.
 - 9.3.3. Reports and Publications – releasing biased, white-washed reports, white papers, videos, podcasts, damaging the reputation of one of the parties, and forcing a retreat by that party.
 - 9.3.4. Community Engagement – running workshops, town hall meetings and other events with disinformation to swing public opinions and pressuring a biased decision.
- 9.4. Emotional Issues, where the dispute was significantly influenced by emotions, such as:
 - 9.4.1. Hurt and Betrayal – where parties feel that their trust and cooperation have been betrayed by the other party:
 - 9.4.2. Anger and Frustration – where parties feel wronged and misunderstood, evoking strong feelings of anger and frustration.
 - 9.4.3. Sadness and Grief – where parties' experience or perceive loss of their cause or interests, leading to sadness, grief and pursuit of the dispute.
 - 9.4.4. Resentment – where parties resent one another, especially in prolonged conflicts or opposing causes, affecting the ability to resolve the dispute objectively and amicably.
 - 9.4.5. Isolation – where parties feel isolated by other stakeholders and seek dispute resolution to absolve themselves.
 - 9.4.6. Stress and Anxiety – disputes cause significant stress and anxiety for those involved, impacting their objectivity and approach to the dispute.
- 9.5. Other Issues that may not fit into the above groupings.
- 10. CNS shall open or update the Stakeholder Management Plan for the disputing parties and continue to update it as the dispute resolution progresses.
- 11. CNS shall continuously rate the disputing parties, throughout the dispute process, according to the following criteria:
 - 11.1. Severity – how severe is the disputed issue and its level of impact on a scale of 1 - 5.
 - 11.2. Distribution – if the issue is widely spread across different areas, persons and processes on a scale of 1 – 5.
 - 11.2.1. Risk scales for both severity and distribution are:
 - a. Low risk shall be rated 1
 - b. Medium low risk shall be rated 2
 - c. Medium risk shall be rated 3
 - d. Medium high risk shall be rated 4

e. High risk shall be rated 5

11.3. Quality of Information – how thorough, complete and accurate is the information – its breadth and depth:

11.3.1. Information is superficial and general – not broken up into specifics and without details – rated 1.

11.3.2. Information has some specifics clouded by generalities with little details to help understand the issues clearly – rated 2.

11.3.3. Information has more specifics, lesser generalities, requires further investigations to be clearly understood and the details are not conclusive – rated 3

11.3.4. Information is mostly specific with some generalities, can be understood, but without details – rated 4.

11.3.5. Information is specific, relevant, clearly separated into matters, thoroughly investigated and detailed – rated 5.

11.4. Reliability of Information – how reliable is the information provided by the disputants and corroborators.

11.4.1. Unreliable – Lacks authenticity, trustworthiness, and competency; history of invalid information – rated 1.

11.4.2. Sometimes reliable – Significant doubts; provided many invalid information in the past – rated 2.

11.4.3. Fairly reliable – Some doubts; provided a mix of valid and invalid information in the past – rated 3.

11.4.4. Usually reliable – Minor doubts; history of mostly valid information – rated 4.

11.4.5. Reliable – No doubt about the source's authenticity or competency – rated 5.

11.5. Noise – distractions, disturbances and other factors that interfere with clear communication and effective resolution of the dispute, that can significantly impact the dispute resolution process, and can come from various sources, such as:

11.5.1. Emotional Noise: Strong emotions such as anger, frustration, or fear can cloud judgment and hinder productive communication between parties.

11.5.2. Communication Noise: Misunderstandings, misinterpretations, and lack of clarity in communication can create confusion and impede resolution efforts.

11.5.3. Cultural Noise: Differences in cultural backgrounds, values, and communication styles can lead to misunderstandings and conflict.

11.5.4. Biased & Prejudicial Noise: Preconceived notions, biases, and stereotypes can create barriers to fair and impartial resolution.

11.5.5. Legal & Procedural Noise: Complex legal jargon, procedural requirements, and formalities can sometimes overwhelm the parties and detract from the core issues of the dispute.

11.5.6. Other Sources

11.5.7. CNS shall indicate in the Stakeholder Management Plan when any of these noises can impact the resolution process.

12. CNS will establish collaborative communication channels with the disputants and seek to eliminate those issues that prevent objective attention to the substantive matters.

12.1. CNS will attempt to resolve disputes in an environment of cooperation and collaboration to objectively solve problems, and avoid confrontation, arbitration and litigation.

12.2. CNS should establish itself as a neutral party in the dispute resolution process. The methods and styles of communication and fairness practised from the beginning, irrespective of the styles of the disputants, would help establish this.

- 12.3. CNS should facilitate open communication and dialogue between parties.
13. CNS shall, from the information thus far obtained, list the merits and demerits (strengths and weaknesses) of the issues presented by the claimants and respondents.
- 13.1. CNS, when necessary, will obtain the assistance of experts in the issues being disputed about to determine the strengths and weaknesses of each case.
14. CNS shall, from the information thus far obtained, develop strategies, together with the disputants, to minimize those factors that influence the substantive issues being resolved. These strategies will seek to manage:
- 14.1. Procedural Issues:
- 14.1.1. Determine who will represent the disputants, a mutually agreed limit to the number of representatives, how they can be better prepared to represent their claims and responses, what MTCC can do to ensure a fair resolution of the dispute.
 - 14.1.2. Determine the channels of communication between disputants and MTCC.
 - 14.1.3. Establish the standards, quality, and reliability of information and evidence that would be necessary not to jeopardise the disputant presentations and case.
 - 14.1.4. Obtain consent for MTCC to conduct the initial evaluation of the dispute and its resolution.
 - 14.1.5. Establish timeliness of information exchange and its confidentiality to ensure efficient dispute resolution.
 - 14.1.6. Determine where and how meetings will be conducted.
 - 14.1.7. Establish rules for conducting orderly meetings, and recording (audio and video) during meetings and inviting the press and other groups or persons to the meetings.
 - 14.1.8. Help disadvantaged disputants be better prepared and guided through the dispute resolution process.
 - a. Disputants could be disadvantaged from problem solving, critical thinking, communication, negotiation, advocacy and other competencies.
 - 14.1.9. Any other procedural matters.
- 14.2. Reputational Issues:
- 14.2.1. Establish guidelines with the disputants on how both parties can get fair media coverage to prevent resentment and future disputes.
 - 14.2.2. Find out how demonstrations, community engagement, reports, publications, press releases, pressuring one another for a favourable outcome can be avoided. While demonstrations could be beneficial for some disputants, avoid resorting to it when a dispute has been referred to MTCC for resolution.
- 14.3. Emotional Issues: CNS shall seek to understand if there are significant emotional issues, and how they can be reduced or eliminated. If parties:
- 14.3.1. Who had tried to cooperate had been betrayed by the other party. Or had been ignored or slighted – made to seem unimportant.
 - 14.3.2. Had been misunderstood and wronged.
 - 14.3.3. Feel there is injustice, inconsideration, unfairness.
 - 14.3.4. Have preconceived ideas of one another that prevent amicable and collaborative settlement of disputes.
 - 14.3.5. Feel that other stakeholders have taken an opposing position to their concerns and issues.
 - 14.3.6. Are anxious and stressed by the dispute, making settlement more difficult.
15. CNS, during this interaction process with the disputants, shall establish documented responsibilities (Form) for the disputants on:

- 15.1. Preparation and Presentation
 - 15.1.1. Gathering Evidence: Collecting all relevant documents, records, and evidence that support their claim.
 - 15.1.2. Detailing the Claim: Clearly articulating the facts, issues, and desired outcomes in a written statement or.
 - 15.1.3. Providing Witnesses (Corroborators): Identifying and presenting corroborators who can provide relevant testimony to support their case.
- 15.2. Compliance and Cooperation
 - 15.2.1. Adhering to Procedures: Following the rules, guidelines and timelines of this procedure and any agreement with MTCC and among parties.
 - 15.2.2. Cooperating with the Other Party: Engaging in good faith negotiations and being open to settlement discussions.
- 15.3. Communication and Representation
 - 15.3.1. Maintaining Communication: Keeping open lines of communication with all parties involved, including legal representatives, if applicable.
 - 15.3.2. Being Present: Attending all required hearings, meetings, and mediation sessions.
- 15.4. Ethics and Integrity
 - 15.4.1. Acting with Honesty: Providing truthful and complete information at all times.
 - 15.4.2. Avoiding Retaliation: Refraining from any retaliatory actions against the other party.
 - 15.4.3. Engaging in the dispute resolution process with integrity and transparency.
- 15.5. Follow-Up and Resolution
 - 15.5.1. Implementing Agreements: Complying with the terms of any settlement or decision and taking appropriate actions to close the dispute.
- 16. CNS will take the disputants through the following stages of dispute resolution, seeking for a collaborative process, that will beneficially close the dispute at the earliest possible:
 - 16.1. **Negotiation:**
 - 16.1.1. CNS, with the information collected and analysed, will present its analysis to the disputants and propose for the disputants to resolve the matter by direct negotiations, without the involvement of MTCC or any third parties.
 - a. This proposal should be made when CNS, through its earlier activities to eliminate non-substantive issues, is of the opinion that disputants are open to negotiations.
 - b. The goal of negotiation is to reach a compromise where both parties feel their needs and interests have been adequately addressed. It is collaborative and less adversarial and can help maintain or even improve relationships between the parties.
 - 16.1.2. Should the negotiations successfully conclude the dispute, CNS shall:
 - a. Run a risk assessment, if appropriate, according to the Risk Management & Preventive Action procedure,
 - i. Should the risk of the settlement actions be significant, as determined by the CEO, risk treatment shall be done, if necessary, with the disputants' participation.
 - 16.1.3. CNS shall:
 - a. Complete the Dispute Decision Template (Template No), containing all pertinent agreed information that the parties shall sign on.
 - b. Prepare a formal agreement (contract) of settlement, to be signed by the parties and stamped.

- c. Inform, by the Dispute Settlement Notification template, all other concerned parties of the settlement.

16.2. Neutral evaluation – when direct negotiation is not pursued or has failed:

- 16.2.1. CNS, from any new information available from the negotiation, shall improve the evaluation and recording of the merits and demerits of each disputant, shall present this assessment of the strengths and weaknesses of each case to the disputants, highlighting the potential outcome if it goes for mediation, arbitration or litigation.
- 16.2.2. CNS, in an environment of mutual respect, will help the parties to arrive at an amicable resolution, given the merits of each case.
 - a. In this case the disputants are deciding based on their strengths and weaknesses, with providing any further analysis of their merits.
- 16.2.3. Should the neutral evaluation be successful, CNS shall:
 - a. Run a risk assessment, if appropriate, according to the Risk Management & Preventive Action procedure,
 - i. Should the risk of the settlement actions be significant, as determined by the CEO, risk treatment shall be done, if necessary, with the disputants' participation.
- 16.2.4. CNS shall:
 - a. Complete the Dispute Decision Template, containing all pertinent agreed information that the parties shall sign on.
 - b. Prepare a formal agreement (contract) of settlement, to be signed by the parties and stamped.
 - c. Inform, by the Dispute Settlement Notification template, all other concerned parties of the settlement.

16.3. Facilitation – when direct negotiation and/or neutral evaluation is not successful:

- 16.3.1. CNS shall offer itself as a neutral facilitator, or parties may mutually agree to appoint another facilitator.
 - a. CNS shall verify, to the best of its ability, that another facilitator has the necessary experience to understand the issues involved and facilitate effectively.
 - i. Documents of this appointment and verification shall form part of the facilitation documentation.
- 16.3.2. The facilitator shall guide and help the disputants through discussions to resolve the issues.
 - a. The MTCC Facilitation Guidelines provide the basic structure and methods of doing this.
- 16.3.3. Facilitators are not involved in the decision-making process and do not take sides.
- 16.3.4. Facilitators shall:
 - a. Guide the disputants through an interactive, collaborative process, ensuring everyone has a voice and that discussions are productive.
 - b. Help disputants communicate more openly and effectively, reducing misunderstandings and tension.
 - c. Help disputants identify their underlying interests and priorities, which can lead to more creative and sustainable solutions.
 - d. Help disputants achieve a mutually agreeable resolution.
 - e. Do their best to bring the dispute to an amicable close.
- 16.3.5. CNS, together with the disputants, shall establish a structured approach to the facilitated discussion, setting agendas, ground rules, time management, with the aim

of creating a collaborative environment where parties feel safe to share their perspectives and work towards a common goal.

16.3.6. Should the facilitation be successful, CNS shall:

- a. Run a risk assessment of the settlement actions, if appropriate, according to the Risk Management & Preventive Action procedure,
 - i. Should the risk be significant, as determined by the CEO, risk treatment shall be done, if necessary, with the disputants' participation.

16.3.7. CNS shall:

- a. Complete the Dispute Decision Template, containing all pertinent agreed information that the parties shall sign on.
- b. Prepare a formal agreement (contract) of settlement, to be signed by the parties and stamped.
- c. Inform, by the Dispute Settlement Notification template, all other concerned parties of the settlement.

16.4. **Mediation** – when the above methods have not been successful:

16.4.1. CNS shall initiate mediation procedures.

- a. These procedures help parties in conflict resolve their disputes, by creating a safe, independent, unbiased, equitable space for communication, and understand each other's perspectives, and facilitate a mutually agreeable solution.

16.4.2. CNS shall refer the dispute to the MTCC Dispute Resolution Committee (DRC) via the MTCC Dispute Resolution Secretariat (DRS), which is the liaison and administrative body between MTCC and the DRC. It is made up of:

- a. A member of the Board of Trustees (BOT), who shall head the DRS.
- b. Other members of the DRS shall be appointed by the DRS Head as required to perform the administrative functions of liaison and administration on a case-to-case basis; it is not necessary that these support staff should be from MTCC.

16.4.3. The DRC provides mediation services for Dispute Resolution, after the issues have been investigated and processed according to the MTCC resolution processes of:

- a. Negotiation.
- b. Neutral Evaluation.
- c. Facilitation.

16.4.4. The DRC is independent of MTCC and is kept at arm's length from MTCC by the BOT, with the DRS as the intermediary.

- a. The DRS, while ensuring clear separation between MTCC and DRC, shall keep CNS updated of the dispute resolution progress.

16.4.5. CNS shall provide all information collected or obtained thus far to DRS in an itemised manner (Dispute Information Cover Page) (Form) to make it easier for all parties to know what has been handed over.

- a. DRS shall review this information and confirm receipt.
- b. DRS may ask for further information for CNS to obtain, the receipt of which shall be thereafter acknowledged on the cover page.

16.4.6. DRS shall hand over this information to the DRC, who shall review and acknowledge receipt on the cover page.

16.4.7. DRC may request for further information from CNS vis DRS or obtain such information by other means.

16.4.8. DRC, after understanding the issues involved, shall appoint one or more Dispute Resolution Mediators (DRM).

- a. The mediators would typically come from the DRC members.
 - i. The DRC may appoint suitably qualified and competent mediators who are not from the DRC when there is a need.
 - b. If there are more than one mediator, one among them shall be appointed as the Mediation Head.
 - c. Mediators, further to the general qualities required of them during their appointment by the BOT, should fulfil the following criteria:
 - i. Neutral Mediator: The mediators must be impartial individuals with no vested interest in the outcome of the dispute.
 - ii. Expertise: The mediators must include subject experts in the issues being disputed about.
 - iii. Experienced: The Mediation Head must be experienced in similar dispute management and resolution.
- 16.4.9. DRS shall inform the disputants of the appointment of the DRMs, their identities, qualifications, experience and general qualities as assessed during their appointment.
- a. The disputants may request for change of mediators, that the DRC shall consider, and oblige when possible.
 - b. However, the disputants must be satisfied with the DRMs.
- 16.4.10. DRS shall obtain the voluntary consent of the disputants for DRMs to mediate the dispute; there are 2 types of consent:
- a. Mediation Consent: the disputants agree to a non-binding mediation.
 - i. By this consent, the disputants are free not to resolve the dispute if they are not satisfied.
 - b. Binding Consent: the disputants agree that the decisions of the DRC shall be binding on them.
 - i. By this consent, the disputants agree that when the disputants cannot resolve the dispute during mediation, the DRC could decide, and they agree to be bound by such decisions.
 - ii. Should the disputants choose the Binding Consent, they must be clearly informed that by this consent they may not be entertained by the legal system should they not agree to the DRC verdict – usually the courts will hold the disputants to their agreement to be bound by the DRCs decisions.
 - c. Both disputants must choose the same type of consent – otherwise it shall only be the mediation consent.
- 16.4.11. DRC, via the DRMs, shall conduct the mediation, ensuring that the mediation process:
- a. Is a Confidential Process: The mediation sessions are kept confidential, allowing parties to discuss issues openly without fear of their statements being used against them later, or influencing their decisions because of the publicity.
 - b. Is a Structured Discussion: The mediator guides the conversation, ensuring that each party has an opportunity to express their views and concerns.
 - c. Focuses on Interests: The mediation emphasizes understanding the underlying interests and needs of the parties, rather than just their positions or demands.
 - d. Seeks Flexible Solutions: The mediators shall help the parties have the freedom to craft creative and customized solutions that may not be available through litigation or arbitration.

- e. ARE THERE MORE DETAILS OF DRC AND THE MEDIATION PROCESS TO BE INCLUDED?
 - i. DRMs shall continuously update the DRC on details of the mediation process.
- 16.4.12. The DRC, including DRMs, shall ensure the following and other relevant criteria to ensure fair and impartial decision-making:
 - a. Evidence: The DRC shall confirm all evidence, investigation and observations by CNS. The disputants can provide further evidence supporting their claims. This can include documents, emails, contracts, witness testimonies, and any other relevant information.
 - b. Fairness: The DRC shall ensure that all parties have a fair chance to present their case and that decisions are made without bias or favouritism.
 - c. Legal Compliance: DRC decisions should be in accordance with applicable laws and regulations. The DRC should ensure that all actions and resolutions comply with the legal framework governing the matter.
 - d. Ethics: The DRC should consider ethical guidelines and principles to ensure that the resolution is just and moral.
 - e. Precedents: The DRC may consider previous similar cases and their resolutions might be taken into account to maintain consistency in decision-making.
 - f. Impact: The potential impact of the decision on all parties involved should be considered to ensure that the resolution is balanced and reasonable.
 - g. Risk: The DRC shall consider the different types of risks involved as a result of its decision.
 - h. Negotiation and Mediation: Before making a final decision, the DRC might encourage negotiation and further mediation between the parties to reach an amicable resolution.
 - i. Documentation: All proceedings, evidence, and decisions should be thoroughly documented for transparency and future reference.
 - j. Credibility: DRC shall assess the reliability and credibility of the various parties, corroborators and witnesses involved, such as the consistency of their testimonies, their demeanor, and any potential biases.
- 16.4.13. For successful mediation, DRS shall complete the Dispute Decision Template, containing all pertinent agreed information that the parties shall sign on. This signed template will be given to CNS for processing.
 - a. CNS shall run a risk assessment, if appropriate, according to the Risk Management & Preventive Action procedure,
 - i. Should the risk of settlement actions be significant, as determined by the CEO, risk treatment shall be done, if necessary, with the disputants' participation.
- 16.4.14. If the mediation is not successful:
 - a. For Mediation Consent, DRS shall complete the Dispute Decision Template, stating the parties have not come to a mutual agreement, that the parties shall sign.
 - i. DRS shall then return the matter to CNS for further action.
 - b. For Binding Consent:
 - i. The DRC may not decide, at its discretion or upon request by the disputants, to allow the disputants to seek arbitration and litigation.
 - ii. The DRC may decide on the issue and impose its decision on the disputants, by issuing the Dispute Decision Template, with their decision, without the disputants' signatures if necessary. Since both disputing parties had agreed to

be bound by the decision of the DRC, they may not be entertained should they seek arbitration or litigation.

16.4.15. The DRC decision making mechanism shall be as follows:

- a. All DRC members who may have direct or indirect interest in the issues being mediated, or in the disputants, or who may be prejudiced because of their beliefs and past activities, shall recuse themselves or be excluded from participating in the mediation and its decision-making process.
- b. All remaining DRC members shall strive towards making a consensual decision, discussing among themselves the merits of each disputant's contentions – this extensive consideration to the issue should thus produce a better and fairer decision.
- c. When a consensual decision seems impossible, the DRC Head shall call for a vote by the participating DRC members – the decision shall be based on a simple majority. In case of a tie in the votes, the DRC Head shall have the casting vote to decide the outcome.

16.4.16. CNS shall receive the completed Dispute Decision Templates from DRS, as well as all other documents, including additional information collected and recorded (except for confidential information to which only the DRC is privy).

16.4.17. CNS shall:

- a. Prepare a formal agreement (contract), according to the decisions made by DRC, to be signed by the parties and stamped.
- b. Should the parties not sign the agreement (contract), CNS shall issue a stamped Mediation Decision Notice, attached with the Disputant Consent & Responsibilities form (Form) and the Dispute Decision Template, to the disputants stating the decisions of the DRC.
- c. Inform, by the Dispute Settlement Notification template, all other concerned parties of the settlement.
- d. This will bring the mediation to a closure.

16.5. **Appeal:** A disputant, after agreeing to be bound by the decisions of the DRC in the Disputant Consent & Responsibilities form (Form) may appeal to the BOT, as the appointing body of the DRC:

16.5.1. To be relieved from the obligations of the Disputant Consent & Responsibilities form (Form) to pursue arbitration and litigation, because of reasons such as:

- a. Breach of mediation agreement after settlement by one party.
- b. The appealing party perceives the mediation process had been biased or unfair.
- c. New evidence has emerged that shows that it is better to resolve the dispute by arbitration or litigation.
- d. Disputant has misled to believe that the binding consent was a better choice.
- e. Circumstances have changed that invalidate the reasons why the disputant agreed to the binding consent.
- f. The mediation was unfairly or unprofessionally conducted.

16.5.2. For the DRC decisions to be reconsidered, because of reasons such as:

- a. New evidence that can significantly impact the dispute has just emerged.
- b. The rules, guidelines and procedures considered in the dispute were misinterpreted.
- c. There were procedural mistakes in the manner the dispute was managed that has significantly impacted the outcome.

- d. The compensation, resolution or decisions are not adequate considering the brevity of the issues involved.
- 16.5.3. The disputant shall state the merits of the appeal clearly, providing itemised reasons for the appeal in the DRC Appeal form.
- 16.5.4. The BOT shall:
 - a. Confirm the merits of the appeal with DRS and CNS who had been involved in the case from the beginning.
 - i. If necessary, CNS shall obtain further information.
 - ii. Only in the most deserving cases will the BOT allow this.
 - b. Require the other disputant, who had not made a similar appeal, to give reasons why the appeal should not be entertained.
 - c. Confirm these reasons to not entertain the appeal with DRS and CNS, who may need to obtain further information.
 - d. Review the submissions by both disputants and decide on the appeal together with the DRC and DRMs.
 - e. Inform both disputants and CNS of their decision.
 - i. Since the dispute has gone through a thorough and detailed dispute resolution process, BOT should give more weightage to the disputant who dissents the appeal.
- 16.5.5. Should the appeal not be successful all earlier decisions and outcomes stay.
- 16.5.6. Should the appeal be successful
 - a. The appealing disputant shall be relieved of the binding consent and CNS shall reclassify the Disputant Consent & Responsibilities form (Form) as Mediation Consent; OR
 - b. The mediation shall be repeated, by different DRMs if disputants request.
- 16.5.7. CNS shall, for the case where the disputant has been relieved of the binding consent:
 - a. Prepare a revised formal agreement (contract), according to the new decisions made by BOT, to be signed by the disputants and stamped.
 - b. Should the parties not sign the agreement (contract), CNS shall issue a stamped Mediation Decision Notice, attached with the revised Disputant Consent & Responsibilities form (Form) and the revised Dispute Decision Template, to the disputants stating the new decisions of the DRC.
 - c. Inform, by the updated Dispute Settlement Notification template, all other concerned parties of the settlement.
 - d. This will bring the mediation to a closure.
- 16.6. Compliance:**
 - 16.6.1. CNS, in the Dispute Management & Resolution form, shall monitor the compliance to the agreements between the parties or decisions by the CRC.
 - a. CNS shall end the monitoring when satisfied that the agreements or decisions have been complied with or fulfilled.
 - b. This shall bring the dispute to a close.**
 - c. Should the agreements or decisions not be complied with in a reasonable time, a period that CNS shall determine, CNS shall initiate punitive actions against the party that has failed to implement the agreements or decisions. Such punitive actions would be:
 - i. Inform the certification body and its accreditation body of failure to comply, including recommendations to suspend or terminate certification.

ii. Referral to Department of Standards Malaysia or accredited certification bodies.

iii. Referral to PEFC.

d. **WHAT PUNITIVE ACTIONS CAN MTCC TAKE**

e. The punitive action shall stay until parties have implemented the agreements to CNS's satisfaction.

f. Continued non-implementation of the agreements will lead to loss of certification and other benefits of (WHAT OTHER BENEFITS).

i. Such loss of certification and other benefits will usually void the issues of the dispute.

16.7. Arbitration:

16.7.1. Arbitration is outside of CNS responsibility to seek an amicable resolution to the dispute.

16.7.2. However, CNS may, where the mediation process allows the disputants to pursue arbitration, share any information that CNS has in the spirit of supporting a fair outcome, for disputants to appoint a suitably qualified subject expert and accredited arbitrator, to arbitrate, according to the Malaysian Arbitration Act 2005 and its prevailing amendments.

16.7.3. In the meantime, CNS shall:

a. Ensure that it has compiled all discussions, documents, notices, decisions, templates and other evidence of the dispute resolution process.

b. Shall have them reviewed by a legal professional to confirm that they can satisfy legal scrutiny.

c. Be prepared to make witness statements at the arbitration.

16.8. Litigation:

16.8.1. Litigation is outside of CNS responsibility. However, should the disputants seek litigation, CNS shall prepare itself to make witness statement in court.

17. CNS shall thereafter close the Dispute Management & Resolution form (Form).

18. **Costs:** The costs of this Dispute Management & Resolution procedure shall be classified and charged as follows:

18.1. Internal Costs – MTCC operational costs for dispute resolution.

18.1.1. MTCC shall bear its operational costs of service for Malaysian organizations.

18.1.2. MTCC shall charge foreign organizations or individuals for operational costs – Malaysian taxpayers should not bear such costs.

a. Operational Costs shall be charged as follows and recorded in the MTCC Dispute Resolution Operational Cost form (Form)

i. RM300.00 per Man-Hour

18.2. External Costs:

18.2.1. Dispute Settlement Agreement preparations.

18.2.2. Document stamping.

18.2.3. Expert consultations and participation.

18.2.4. Legal consultations and participation.

18.2.5. Any other external costs.

a. MTCC shall charge the respective organization and individuals.

b. External Costs shall be charged as follows and recorded in the MTCC Dispute Resolution Operational Cost form (Form)

i. Actual Cost-plus ten percent

c. If more than one party benefits, the costs will be shared between them.

i. If the benefits are disproportionate, CNS shall determine the proportion to charge.

19. The timeline for this procedure shall be as follows. It indicates the maximum time to complete that stage, unless there are unavoidable circumstances or events:

5.1. Receiving notice requesting for dispute resolution or CEO request to open DMR.	0 week
5.2. Confirming further investigation will not resolve the issue.	1 week
5.3. Obtain signed Disputant Consent & Responsibilities form (Form).	2 weeks
5.4. Compile all currently available information.	2 weeks
5.5. Interview disputing parties and corroborators.	3 weeks
5.6. Open or update Stakeholder Management Plan.	1 week
5.7. Disputant rating start.	1 week
5.8. Establish collaborative communication channels to minimize non substantive issues.	1 week
5.9. List merits and demerits of disputant cases.	2 weeks
5.10. Strategies to minimize factors that influence the substantive issues being resolved.	2 weeks
5.11. Document disputant responsibilities.	1 week
5.12. Initiate Negotiation.	1 week
5.13. Initiate Neutral Evaluation.	1 week
5.14. Initiate Facilitation.	2 weeks
5.15. Initiate Mediation – Refer to DRC via DRS – provide all information.	2 weeks
5.15.1. Selection and recruitment of DRMs	2 weeks
5.15.2. Voluntary consent of disputants for DRMs to mediate.	2 weeks
5.15.3. Conduct mediation.	1 week
5.15.4. Inform stakeholders of outcome.	2 weeks
5.15.5. Confirm compliance to dispute settlement and agreement.	2 weeks
5.15.6. Initiate punitive actions for non-compliance	1 week
5.15.7. Monitor compliance.	1 week
5.16. Appeal against decision	1 week
5.17. Compliance monitoring	1 week

H. RECORDS

TITLE	FORM NO.	RETAINED BY	MIN. RET. PERIOD	REMARKS
1. Dispute Management & Resolution				
2. Disputant Consent & Responsibilities				
3. Dispute Decision				
4. Dispute Settlement Notification				
5. Mediation Decision Notice				
6. DRC Appeal Form				
7. Dispute Information Cover Page				

 Malaysian Timber Certification Council		Dispute Management & Resolution										DMR		Complainant Stakeholder Number	Respondent Stakeholder Number	Dispute Sequence Number			
Referral From:		CNR No.: CAR No.: RIN No.: Request By, Ref No, Date, CEO:																	
Dispute Class:		Between SHs		MTCC & SH		Referred to MTCC		Parties desire MTCC				Others							
		CLAIMANT								RESPONDENT									
Disputing Parties																			
Corroborators																			
Consent Reference		Disputant Consent & Responsibilities form done? If no, terminate DMR. Disputant Consent & Responsibilities form (Form) shall include responsibilities for confidentiality																	
Info Quality		Validated that information is:		Relevant		Specific		Clear		Evidential		Verifiable		Actionable					
Info. Provided		CLAIMANT				Valid		Conf		RESPONDENT				Valid		Conf			
		E.g. Correspondences with relevant stakeholders and information provided.				Validated		Confidentiality						Validated		Confidentiality			
		E.g. Privately provided information from the disputants and corroborators.																	
Info. Obtained & Source		Eg. Complaint & Nonconformity Report, Corrective Action Report, Request for Investigation form, Investigation Report, Publicly available information on websites, news publications and portals, press releases, Other sources of information that may be needed to pursue the dispute resolution process.														Validated		Confidentiality	
INTERVIEW FIND		CLAIMANT & CORROBORATORS				Validated		RESPONDENT & CORROBORATORS				Validated							
Substantive																			
Procedural																			
Reputational																			
Emotional																			
Other Issues																			
SH Mgmt Plan Upd		Dates	Dates	Dates	Dates	Dates	Dates	Dates	Dates	Dates	Dates	Dates	Dates	Dates	Dates	Dates	Dates		
Issue & Info Rate		Severity		Distribution		Quality		Reliability		Noise									
Noise Rating		Emotional		Communication		Cultural		Bias-Prejudice		Legal-Procedural									
Communication Channels		Eliminate issues that prevent objective attention to the substantive matters																	
Merits of Issues		CLAIMANT & CORROBORATORS								RESPONDENT & CORROBORATORS									
Demerits of Issues																			
Procedural Issues Strategies																			
Reputational Issues Strategies																			
Emotional Issues Strategies																			
Noise Reduction Strategies																			
Negotiations		Venue _____				Dates _____				Resolved?		Yes	No	Risk assessment Risk Score					
Lessons																			
Neutral Evaluation		Venue _____				Dates _____				Resolved?		Yes	No	Treatment Reference Dispute Decision Template					
Lessons																			
Facilitation		Venue _____				Dates _____				Resolved?		Yes	No	Dispute Settlement Notification					

Facilitator	Verify _____		Appoint _____		Agreement (Contract) _____	
Lessons						
Mediation	DRS Head: _____	DRS Staff: _____	Info to DRS: _____	Date _____	Cfmd Receipt	Yes ☐ No ☐
	DRC Members: _____	_____	_____	_____	_____	_____
	DRM Head: _____	DRM Members: _____	_____	_____	_____	_____
	Disputants Consent to DRMs: _____		Date _____	Mediation Consent: _____	Binding Consent: _____	_____
DRC Decision	Venue _____	Dates _____	Resolved? Yes ☐ No ☐	Relieved - Binding Consent? Yes ☐ No ☐		
Appeal	CNS receive all information: Yes ☐ No ☐	Mediation Decision Notice: Not applicable ☐ Issued ☐	Date _____			
	Reason for appeal: Relief - Binding Consent ☐	Review DRC decision ☐	BOT, DRS, CNS Review Date _____			
	Merits of appeal _____					
Merits of dissent	_____					
BOT Decision	Relieved - Binding Consent? Yes ☐ No ☐	Review Decision? Yes ☐ No ☐	Appeal Hearing: Venue _____	Date _____		
Appeal DRM	DRM Head: _____	DRM Members: _____				
BOT Verdict	Disputants Consent to DRMs: _____	Date _____	Venue _____	Date _____	Resolved? Yes ☐ No ☐	
	CNS receive all information: Yes ☐ No ☐	Mediation Decision Notice: Not applicable ☐ Issued ☐	Date _____			
	Compliance	Compliance Monitor: Required? Yes ☐ No ☐	Dates: _____	_____	_____	_____
Punitive Action						
Arbitration						
Costs	Internal Costs: Man-Hrs _____	Allocated to: Malaysian _____	Foreign NGO _____	Others _____		
External Costs	Item _____	Costs _____	Charged To _____			
	_____	_____	_____			
	_____	_____	_____			
	_____	_____	_____			
NDA Signed By	_____	_____	_____	_____	_____	_____
	_____	_____	_____	_____	_____	_____

	Malaysian Timber Certification Council	Disputant Consent & Responsibilities	DCR	Complainant Stakeholder Number	Respondent Stakeholder Number	Dispute Sequence Number																																		
<table border="0" style="width: 100%;"> <tr> <td style="width: 15%;">Claimant:</td> <td style="width: 35%;">Name _____</td> <td style="width: 15%;">ID Doc _____</td> <td style="width: 15%;">Issued By _____</td> <td style="width: 20%;">ID No _____</td> </tr> <tr> <td></td> <td>Represented By Name _____</td> <td colspan="4">Contact Details _____</td> </tr> </table> <table border="0" style="width: 100%;"> <tr> <td style="width: 15%;">Respondent:</td> <td style="width: 35%;">Name _____</td> <td style="width: 15%;">ID Doc _____</td> <td style="width: 15%;">Issued By _____</td> <td style="width: 20%;">ID No _____</td> </tr> <tr> <td></td> <td>Represented By Name _____</td> <td colspan="4">Contact Details _____</td> </tr> </table> <table border="0" style="width: 100%;"> <tr> <td style="width: 15%;">Complaint:</td> <td colspan="5">_____</td> </tr> <tr> <td>References</td> <td colspan="5">_____</td> </tr> </table>							Claimant:	Name _____	ID Doc _____	Issued By _____	ID No _____		Represented By Name _____	Contact Details _____				Respondent:	Name _____	ID Doc _____	Issued By _____	ID No _____		Represented By Name _____	Contact Details _____				Complaint:	_____					References	_____				
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Complaint:	_____																																							
References	_____																																							

Please take note that the above issues have been referred to MTCC for dispute resolution. MTCC has been in contact with you during its initial investigations, interviews and discussions. MTCC has initiated its Dispute Resolution Procedure in furtherance of the above stated complaints and/or issues and their references that had been brought to the attention of MTCC.

MTCC is obliged to develop cooperation and collaboration among all parties involved during this process to achieve a long-term beneficial relationship in pursuit of sustainable development, management and custody of Malaysia's forest resources, and its resulting benefits for societies everywhere.

The Process:

To resolve this matter, in the spirit of collaboration and non-confrontation, striving towards an outcome that will improve sustainable development and protection of rights, the dispute resolution process shall undergo, as required, the stages of negotiation, neutral evaluation, facilitation and mediation. MTCC, with your support, shall seek to resolve the dispute at the earliest of these four stages.

MTCC shall communicate with you via various channels, to understand the issues involved, and clarify any matter that may have been overlooked by you earlier, with the intention that such clarification of the issues involved will lead to an amicable resolution at the earliest.

MTCC shall collect or obtain the necessary available information, evaluate the merits of your claims and responses, treating all information provided with the appropriate level of confidentiality. In this matter, all persons involved in this dispute resolution shall agree to the non-disclosure agreement.

At the negotiation stage, MTCC shall invite you to negotiate and resolve the matter on your own, in the hope that this direct interaction in a cordial environment shall bring about an early amicable resolution. Should this not be resolved, we shall move on to the neutral evaluation stage.

At the neutral evaluation stage, with any additional information obtained during the negotiation stage, MTCC shall further evaluate the merits of your cases that shall be presented and discussed with you individually and separately, exploring the potential outcomes of a resolution. We hope that this will be sufficient to persuade you to find a resolution to the matter and come to a settlement. Should this not be resolved, we shall move on to the facilitation stage.

At the facilitation stage, a facilitator will conduct a facilitation session with both parties, providing the necessary objective, unbiased guidance for you to find an amicable resolution. Usually this should bring the matter to a settlement, since the both of you will be discussing the issues without clouding the discussions with matters that have little benefit. However, should the matter not be resolved at this stage, we shall move on to the mediation stage.

At the mediation stage, objective, unbiased, competent mediators (one or more) shall, with the experience and knowledge of the issues, shall provide you their expert opinions and guide you to a resolution. In this process, should you not come to a resolution, the mediators will determine how the matter shall be settled.

You are required to go through these stages to either resolve the dispute at the earliest or gather information that will be useful in the mediation stage.

Your Responsibilities:

You are advised to review the following MTCC procedures to be better prepared:

- The Dispute Management & Resolution Procedure that details the dispute resolution process for you to be better prepared.
- The Complaints & Nonconformity Management Procedure that will initially explore and attempt to resolve the dispute before being escalated to the Dispute Management & Resolution Procedure.
- The Risk Management & Preventive Action Procedure will be useful to understand why resolutions that are risky and could have unfavourable outcomes will not be supported.
- The Investigation & Reporting Procedure that outlines the detailed investigation being made when attempting to resolve disputes.
- The Corrective Action Procedure shows the speed with which MTCC shall improve its processes and methods to resolve issues.

Your assistance is required in the following matters:

- 1) Preparation and Presentation
 - a) Gathering Evidence: Collecting all relevant documents, records, and evidence that support your claim.

- b) Detailing the Claim: Clearly articulating the facts, issues, and desired outcomes in a written statement or.
- c) Providing Witnesses (Corroborators): Identifying and presenting corroborators who can provide relevant testimony to support your case.
- 2) Compliance and Cooperation
 - a) Adhering to Procedures: Following the rules, guidelines and timelines of the procedures and any agreement with MTCC and among parties.
 - b) Cooperating with the Other Party: Engaging in good faith negotiations and being open to settlement discussions.
- 3) Communication and Representation
 - a) Maintaining Communication: Keeping open lines of communication with all parties involved.
 - b) Being Present: Attending all required hearings, meetings, negotiation, facilitations, and mediation sessions.
- 4) Ethics and Integrity
 - a) Acting with Honesty: Providing truthful and complete information at all times.
 - b) Avoiding Retaliation: Refraining from any retaliatory actions against the other party.
 - c) Engaging in the dispute resolution process with integrity and transparency.
- 5) Follow-Up and Resolution
 - a) Implementing Agreements: Complying with the terms of any settlement or decision and taking appropriate actions to close the dispute.

Confidentiality:	You must agree and sign the non-disclosure agreement to provide the appropriate levels of confidentiality to the information that you may collect or obtain during the course of this dispute resolution process.	
Costs:	The costs for this dispute resolution process shall be according to the Dispute Management & Resolution Procedure and you must settle them.	
Consent:	<u>Mediation Consent</u>	<u>Binding Consent</u>
	You consent to: • MTCC managing this dispute resolution. • Follow the procedures, guidelines, instructions of the MTCC Dispute Management & Resolution Procedure and its related procedures.	You consent to: • MTCC managing this dispute resolution. • Follow the procedures, guidelines, instructions of the MTCC Dispute Management & Resolution Procedure and its related procedures. • Be bound by the decisions of the MTCC Dispute Resolution Committee and/or the MTCC Board of Trustees. By this consent you MAY not be able to go for arbitration or litigation.

MTCC therefore seeks your support, assistance, cooperation and consent:

CLAIMANT
Date: _____

RESPONDENT
Date: _____

	Malaysian Timber Certification Council	Dispute Decision		DDT	Complainant Stakeholder Number	Respondent Stakeholder Number	Dispute Sequence Number
Claimant: Name _____ ID Doc _____ Issued By _____ ID No _____ Represented By Name _____ Contact Details _____ Respondent: Name _____ ID Doc _____ Issued By _____ ID No _____ Represented By Name _____ Contact Details _____ Complaint: _____ References _____							
Decision by DRC							
Evidence	Discuss the evidence presented and their value to the case.						
Credibility	Discuss the credibility and reliability of the evidence and the various parties, corroborators and witnesses involved.						
Fairness	Describe how fairness was ensured throughout the investigation and other processes of CNS and DRMs, or any shortfalls in it, and if all parties finally had a fair chance to present their case and that decisions are made without bias or favouritism.						
Legal Compliance	State any applicable laws and legal requirements had been met; if necessary describe how this was achieved.						
Ethics	Describe how the DRC considered ethical guidelines and principles to ensure that the resolution is just and moral.						
Precedents	Describe any previous similar cases that were taken into consideration in the decision, and why this was done.						
Impact	State how the potential impact of the decision on all parties involved was considered to ensure a balanced and reasonable decision.						
Risk	Describe the risks involved in the decision, their significance and how this was considered in the decision.						
Negotiation and Mediation	State if the DRC had suggested for the disputants to pursue further negotiation and mediation, and what was the outcome.						
	Documentation: All proceedings, evidence, and decisions should be thoroughly documented for transparency and future reference.						
Decision By DRC	Provide a detailed description of the decision, without any ambiguity, to avoid any confusion and appeal.						
Disputant Response	Claimant	Respondent	Mediation Consent Decision		Binding Consent Decision		
Agree to Decision?	Yes No	Yes No	Parties free to pursue arbitration and litigation		Impose Relieve		
Signatures							
Designation			DRC Head		DRC Head		
Date							
AFTER APPEAL							
Decision by BOT	State the merits of the BOT decision on the appeal						
Sign & Date							

	Malaysian Timber Certification Council	Dispute Settlement Notification		DSN	Complainant Stakeholder Number	Respondent Stakeholder Number	Dispute Sequence Number
Notification to:						Date:	
In the matter of the dispute between parties as stated below, please take note that the parties have concluded the matter as stated below:							
Disputed Issue:							
Disputants:							
Outcome:		Parties have resolved the matter at a pre-mediation stage.					
		Parties have resolved the matter at the mediation stage.					
		Parties have resolved the matter after appeal to the MTCC Board of Trustees.					
		Parties have resolved the matter by a binding decision by the Dispute Resolution Committee.					
		Parties have not resolved the matter and may pursue other forms of dispute resolution.					
Resolution Details		The summary details of the resolution and agreement are:					
Sign & Date		Sign	Designation	Date			

	Malaysian Timber Certification Council	Mediation Decision Notice		MDN	Complainant Stakeholder Number	Respondent Stakeholder Number	Dispute Sequence Number
					Date		
We, the Dispute Resolution Committee, after mediating between your good selves, further to the earlier stages of attempts to resolve the dispute, and compilation of all information from these processes, are compelled to notify your good selves, since you have declined to validate the decisions of the mediation in an agreement, that the decisions made by us, the Dispute Resolution Committee, stays. You may appeal our decisions to the MTCC Board of Trustees, the contact details of whom are available on the MTCC website. You must use the DRC Appeal Form that is available on the MTCC website. Attached are the copies of your signed Disputant Consent & Responsibilities Form and the Dispute Decision. We sincerely seek your cooperation to bring this matter to a satisfactory closure.							
		CLAIMANT		RESPONDENT			
Name:							
Represented By:							
Contact Details:							
SH Reference:		Stakeholder ID		Stakeholder ID			
Dispute Ref:							
Sign & Date		Sign		Designation		Date	

	Malaysian Timber Certification Council	DRC Appeal Form	DAF	Complainant Stakeholder Number	Respondent Stakeholder Number	Dispute Sequence Number
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Date

We the claimants/respondents pray for the reconsideration of the Dispute Resolution Committee’s dispute mediation decision as contained in the MTCC Dispute Decision Template, DDT xxxxxx, in view of the following events and/or developments:

	CLAIMANT	RESPONDENT
Name:		
Represented By:		
Contact Details:		
Our Reference:	Stakeholder ID	Stakeholder ID
Dispute Ref:		

Sign & Date	Sign	Designation	Date
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Malaysian Timber
Certification
Council

Dispute Information Cover Page

DIC

Complainant
Stakeholder
Number

Respondent
Stakeholder
Number

Dispute
Sequence
Number

Item	Document Title	Document Number	No of Pgs	Initial

DRC Sign & Date

Sign

Designation

Date

DISPUTANT & CORROBORATOR INTERVIEW GUIDE

Understanding Disputant Needs and Expectations: Key Questions

When interviewing disputants in a dispute resolution process, it's important to ask questions that gather relevant information about the dispute and help understand their perspective. Remember to ask open-ended questions that encourage the claimant to provide detailed and specific information. It's also important to listen actively and ask clarifying questions to ensure you understand the claimant's perspective fully.

Some areas to investigate are:

A. Confirm Identifying Information:
1. Full name
2. Contact information
3. Relationship to the dispute (e.g., party involved, witness)
B. Dispute Overview:
1. Nature of the dispute
2. Date and time of the incident
3. Location of the incident
4. Parties involved (names, contact information)
C. Background & Context - Claimant
1. What events led to the incident and issue?
2. Can you describe your role and involvement in this matter?
3. When did you first become aware of the issue?
4. Have there been any previous attempts to resolve this dispute?
5. What were the other parties' actions and reactions?
6. What evidence does the claimant have to support their claims? (e.g., documents, photos, witnesses)
7. Have you had any direct communication with the respondent? If so, what was discussed?
D. Background & Involvement - Respondent
1. What events led to the incident and issue?
2. Can you describe your role and involvement in this matter?
3. How did you first become aware of this dispute?
4. What were your actions and reactions?
5. What were the other parties' actions and reactions?
6. What is your understanding of the claimant's concerns?

7.	Have you had any direct communication with the claimant? If so, what was discussed?
E. Nature of the Claim - Claimant	
1.	What specific harm, damages, losses or impact have you experienced?
2.	Can you describe in detail what happened?
3.	How can these damages be quantified or valued?
4.	Are there any ongoing or future damages?
5.	What evidence do you have to support your claim?
6.	Were there any policies, agreements, or legal frameworks that you believe were violated?
F. Response to Allegations – Defence or Counterclaim	
1.	Do you agree with the claimant's version of events? If not, what aspects do you dispute?
2.	What is your perspective on what happened?
3.	Can you provide evidence or documentation to support your response?
4.	Were any policies, agreements, or laws followed or violated, in your view?
5.	Does the respondent have any counterclaims against the claimant?
G. Negotiation and Settlement:	
1.	Has the claimant attempted to resolve the dispute informally?
2.	If so, what were the results?
3.	Is the claimant open to settlement discussions?
4.	What are the claimant's settlement expectations or desired outcomes or resolutions?
H. Additional Information:	
1.	Are there any relevant prior incidents or disputes?
2.	Are there any witnesses to the incident?
3.	Are there any documents or records that would be helpful?
I. Timeline & Events	
1.	Can you outline the key events leading up to this dispute?
2.	Can you provide a timeline of key events?
3.	Were there any witnesses or other parties involved?
4.	Have any steps been taken on your side to address the issue?
5.	How has the situation evolved since the initial issue arose?
J. Communication & Engagement	

1.	Have you communicated with the other party about this issue?
2.	What was their response, if any?
3.	Have you sought support from any other organizations, authorities, or community groups?
K. Impact Assessment	
1.	How has this issue affected you, your organization, your stakeholders or community?
2.	Are there any ongoing consequences of the dispute?
3.	How has this dispute affected?
4.	Have there been any financial, reputational, or operational consequences?
L. Expectations & Resolution	
1.	What outcome or resolution are you seeking?
2.	Are you open to mediation, facilitation, negotiation, or other forms of resolution?
3.	What would a fair resolution look like to you?
4.	Are there any non-monetary remedies you believe would be appropriate (e.g., policy changes, public acknowledgment, future commitments)?
5.	What outcome would you consider fair or reasonable?
6.	Are there any corrective actions you are willing to take?
7.	If applicable, what assurances can be given to prevent similar disputes in the future?
M. Legal & Compliance Considerations	
1.	Have you pursued any legal action or filed complaints with authorities?
2.	Are there any legal documents, contracts, or agreements relevant to this dispute?
3.	Are there any legal agreements, policies, or regulations relevant to this dispute?
4.	Have you sought legal or professional advice regarding this matter?

Interviewer Evaluation:

Listen actively and attentively.	
Take detailed notes.	
Ask clarifying questions.	
Summarize and confirm understanding with stakeholders.	
Build rapport and trust with stakeholders.	