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OBJECTIVE

By this catalog there are defined measures and consequences by the producer/processor/trader has to face with in the case of established non-conformities during practicing production / processing / marketing of certified products. This catalogue is a part of the GP 15 Procedure. ETKO takes references described in this catalogue identifying sanction levels.

ETKO issues and classifies non-conformities as described below.

When a non-conformity is identified during an audit, it is classified according to the levels below.

ETKO applies the specified timeline for each non-conformity based on its level. Shorter timelines may be given when ETKO believes they are justified.


Evaluation of non-conformities is conducted on-site when this is needed for credible evaluation of the non-conformity. The use of alternative technologies (e.g. video conferencing) are considered prior to requiring an additional site visit.

In all cases, if a scope certificate is not issued within 60 days of an initial audit, or if a certificate is suspended for 180 days or until its expiry, whichever is shorter, a new audit is conducted before the organization may become (re-)certified.

• Critical Non-Conformity

Definition	Critical non-conformities represent serious failures to meet the fundamental principles of the Standard.	
Applicable Standards	All	
Initial Audit	Timeline	Prior to certification
	Consequence if not closed	Scope certificate is not issued
Recertification Audit	Timeline	Immediate
	Consequence if not closed	Scope certificate is suspended
Requirements	<ol style="list-style-type: none"> 1. Critical non-conformities are reserved for requirements identified as critical in the Standard, or for intentional fraud. 2. The auditor notifies ETKO immediately when a critical non-conformity is identified. 3. When a critical non-conformity is identified for a certified organization, ETKO suspends the scope certificate immediately. In all cases, the suspension is enacted within a maximum of five business days from the day the critical non-conformity was identified, even if the entire audit has not yet been completed. 4. When a scope certificate includes multiple sites (including groups) and a site receives a critical non-conformity, the site may be suspended from the certificate to avoid suspension of the entire scope certificate. (This does not apply to critical non-conformities issued to an Internal Control System.) 5. ETKO immediately notifies Textile Exchange of all critical non- 	
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	conformities, including details of the non-conformity.
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• **Major Non-Conformity**


Definition	Major non-conformities occur if, either alone or in combination with further non-conformities relating to other requirements, they result in, or are likely to result in, a fundamental or systematic failure to achieve the objectives of the standards system.	
Applicable Standards	All	
Initial Audit	Timeline	Prior to certification
	Consequence if not closed	Scope certificate is not issued
Recertification Audit	Timeline	30 days from the audit (closing meeting), and prior to recertification
	Consequence if not closed	Scope certificate is not reissued, and is suspended if the 30-day timeline ends before expiry of the scope certificate
Requirements	<p>A. Major non-conformities are issued in the following circumstances:</p> <ol style="list-style-type: none"> 1. For requirements which are indicated as major requirements in the Standard. or 2. Where, either alone or in combination with further non-conformities, the non-conformity results in or may result in a fundamental or systematic failure to meet the objectives of the Standard. This may be indicated by non-conformities which: <ol style="list-style-type: none"> a. continue over a long period of time, b. are repeated or systematic, c. affect a wide area, d. affect the integrity of the product or the Standard, or e. are not corrected or adequately addressed once they are identified. <p>B. Scope certificates are suspended immediately if there are five or more open major non-conformities.</p>	

• **Minor Non-Conformity**

Definition	Minor non-conformities occur when a single observed lapse has been identified in a procedure required as part of the client's management system.	
Applicable Standards	All	
All Audits	Timeline	30 days from the audit (closing meeting) But in case a corrective action plan is submitted to ETKO which convinces the certification department, it may delay until 60 days from the audit (closing meeting)
	Consequence if not closed	Non-conformity is upgraded to become a major non-conformity with a timeline 30 days from the original deadline

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Requirements	<p>Minor non-conformities are issued in the following circumstances:</p> <ol style="list-style-type: none"> 1. For requirements which are indicated as minor requirements, unless ETKO determines that the non-conformity is major based on the requirements above; or 2. Where the non-conformity is a temporary lapse, non-systemic, limited in scale, or does not represent a fundamental failure to achieve the objectives of the Standard.
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5.6 GOTS Specific Rules Dealing with Non-conformities:

5.6.1 GOTS Specific Rules regarding Certification GOTS Approval Procedure-5.2.3.4

The rule regarding major and minor non-conformities with TE scopes implements for GOTS certification, too.

a) Certification decisions may include requests for the correction of minor non-conformities within a specified time period. In case of major non-conformities, a certificate is withheld or suspended until implementation of corrective actions can be demonstrated. In serious cases, certification is denied or withdrawn.

b) Reasons for denial, withdrawal or suspension of certification are stated with clear reference to the GOTS criteria or other certification requirement violated.

c) In case reasons for denial or withdrawal of certification include fraudulent activities ETKO promptly notifies Global Standard gGmbH who will circulate among all approved Certification Bodies details of such operators. ETKO does not offer certification to those operators within a period specified by Global Standard gGmbH.

5.6.2 GOTS Specific Rules regarding Approval GOTS Approval Procedure-5.3.3.3

a) Reasons for denial of approval of applied inputs are stated with clear reference to the GOTS criteria or other certification requirement violated.

b) In case reasons for denial or withdrawal or suspension of approval include fraudulent activities of the operator ETKO promptly notifies Global Standard gGmbH who will circulate among all Approved Certification Bodies details of such entities.

c) ETKO does not offer input approval to such entities where fraudulent activities have been detected for a time period specified by Global Standard gGmbH.

d) In case a chemical input, which was included in the latest circulated summary list needs to be removed from a 'Letter of Approval' because of non-conformities found, a notification is to be sent to the GOTS Technical Director for circulation to all Approved Certifiers. This notification includes the kind of non-conformity found so that the risk potential related to the use of this input can be estimated.

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