

1. OBJECTIVE

By this catalog, there are defined measures and consequences by the operator has to face within the case of established non-conformities. This catalog is a part of the GP 25 Procedure. ETKO takes references described in this catalog identifying sanction levels.

2. Issuance and Classification of Nonconformities

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. The auditor also identify the early stages of a problem which does not yet constitute a nonconformity, but which the auditor considers may lead to a future nonconformity if not addressed by the client. Such observations are recorded in the NCR as 'observations' for the benefit of the client.

ETKO applies the specified timeline for each non-conformity based on its level.

2.1 Major Non-Conformity

A nonconformity is considered major if, either alone or in combination with further nonconformities, it results in, or is likely to result in a fundamental failure to achieve the objective of the relevant requirement within the scope of the evaluation. Such fundamental failures may be indicated by nonconformities which:

- continue over a long period of time, or
- are systematic, or
- affect a wide range of the production, or
- affect the integrity of the FSC system, or
- are not corrected or adequately addressed by the client once they have been identified.

The absence of a valid 'License Agreement for the FSC Certification Scheme' is treated as a major nonconformity that has to be corrected in a period of a maximum of two (2) weeks. Failure to close this major nonconformity leads to the suspension of certification.

Clients implement corrective action for major nonconformities within three (3) months (under exceptional and justified circumstances within six (6) months) after the audit closing date in order to be proposed for certification.

Action(s) taken to correct a major nonconformity may continue over a period of time which is longer than three (3) months. However, action must be taken within the specified period which is sufficient to prevent new instances of nonconformity within the scope of the certification.

Major nonconformities are not downgraded to minor nonconformities.

2.2 Minor Non-Conformity

A nonconformity is considered minor if:

- it is a temporary lapse, or
- it is unusual/non-systematic, or

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- the impacts of the nonconformity are limited in their temporal and organizational scale, and
- it does not result in a fundamental failure to achieve the objective of the relevant requirement.

Clients implement corrective action for minor nonconformities within the maximum period of one (1) year (under exceptional and justified circumstances the timeline may be extended to two (2) years) after the audit closing date in order to be proposed for certification.

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