

## Procedures and sanctions for non-conformities

In cases where a non-conformity is found during the audit, a deadline has to be fixed together with the company manager (person in charge).

The deadline for **minor non-conformities** shall be set with a max. of 2 weeks. Until this deadline, the minor non-conformities shall be closed by submitting all necessary documents and information to the auditor directly. If all non-conformities have been closed, the auditor informs the customer about this.

In case of **major non-conformities** (e.g. recipe does not correspond exactly with the evaluated recipe) a deadline of 28 working days shall be set. The follow up on these non-conformities is done directly by EcoControl internal staff.

If all non-conformities have been closed until the deadline, the audited customer shall receive a short notice that all non-conformities have been closed.

If **critical non-conformities** (e.g. the integrity of the product is at stake, or non-compliant raw materials are being used) are being detected during the audit, EcoControl will be informed immediately about the findings, followed by an information to the standard owner. Critical non-conformities require immediate reaction of the audited company.

This includes but is not limited to providing all information on quantity of product produced, product in stock, detailed root cause analysis of the non-conformity as well as any other important information asked by EcoControl. Critical non-conformities may lead to withdrawal or suspension of the certificate as well as a recall of affected products.

All deadlines are being managed by EcoControl. **Failure of meeting any deadline will result in an automatic reminder charged according to EcoControl service fees.** The deadline might be extended for another 28 days max for minor and major non-conformities.