Escalation and Communication of Non-Compliances Standard Operating Procedure (SOP05)

CONTENTS

1. Objective and Scope 1
2. Roles and Responsibilities 1
3. Types of Non-Compliances 2
4 Escalation of Non-Compliances 2
5 Reporting to external parties 3
6 Confidentiality 3
APPENDIX A 4

1. Objective and Scope

This procedure describes the processes followed by GoodWeave International and GoodWeave country teams regarding communication between those entities and their licensees regarding non-compliances against the GoodWeave Standard in monitored supply chains.

It applies to all Licensed Importers and Licensed Exporters.

2. Roles and Responsibilities

The following outline the roles and responsibilities of relevant parties / persons to this procedure

Role	Responsibilities
GoodWeave International (GWI)	GoodWeave International is responsible for timely communication to importer licensees regarding non-compliances (NCs). GoodWeave International maintains an independent Certification Committee, a panel of independent experts that make decisions regarding certification. The Certification Committee may review major non-compliances and make decisions on suspending labels and withdrawing licenses.
Certification Committee (CC)	Holds the highest authority on certification decisions, including initial approval for label issuance to new licensees. The Certification Committee may review major non-compliances and make decisions on suspending labels and withdrawing licenses and approves

Inspection, Monitoring and Certification (IMC) Country Offices	The IMC acts as the certification body within the country of production. The IMC division in each country is responsible for communicating with exporters regarding non-compliances.
Importer Licensee	Licensed importers and licensed exporters designate a primary point of contact for communications related to compliance.
Exporter Licensee	The licensed exporter is the primary party responsible for compliance within its supply chain. Whenever non-compliance issues are reported, the licensed exporter is responsible for taking necessary corrective actions and (if applicable) enforcement actions against its subcontractors.

3. Types of Non-Compliances

3.1 **Major Non-Compliance (Major NC).** Failure to maintain critical objectives of the GoodWeave Standard, including but not limited to the use of child labor, forced labor, or trafficking; failure to disclose the supply chain, or cooperate with or allow access by GoodWeave inspectors to conduct audits/inspections; or to carry out remediation when non-compliances are found. Any Major NC will lead to suspension of certification if not corrected as specified in the corrective actions timeline. In general, Major NCs require immediate action.

3.2 **Minor Non-Compliance (Minor NC).** Failure to adhere to requirements of the GoodWeave Standard, however not critical to the immediate safety or well-being of the individuals involved. For example, failure to maintain a policy, records or other documentation. Minor NCs must be corrected within the time period given in the corrective actions timeline, which ranges from 1-6 months.

3.3 Additional information on how NCs are categorized as major or minor is included in the internal IMC Manual (SOP04) and the external Expectations for GoodWeave Licensed Exporters (P08).

4 Escalation of Non-Compliances

4.1 When non-compliances are identified during audits and inspections, they are communicated to producers as follows:

4.1.1 All NCs are recorded on the audit/inspection report. Child labor cases are handled as per the GoodWeave policies for child protection and remediation.

4.1.2 The GoodWeave inspector informs the producer verbally of the non-conformance during the audit/inspection.

4.1.3 After the audit takes place, GoodWeave provides Licensed Exporters with a written report of all NCs raised at their own sites and their subcontracted and home-based work sites. Subcontractors and home-based work sites do not receive written reports from GoodWeave. (See P08 for the timeline for resolving non-compliances).

4.2 Major non-compliances may result in suspension of label issuance and withdrawal of the GoodWeave license. (See P08 for details on when labels may be suspended and when licenses may be withdrawn).

4.2.1 In cases where there are Major NCs related to child labor or forced labor at an exporter site, the country office IMC informs the GWI Certification and GWI Business Development divisions. GWI Business Development staff may contact the Licensed Importer(s).

4.2.2 GoodWeave's Certification Committee may be consulted for a decision regarding suspension of labels and/or withdrawal of the GoodWeave License.

4.3 For all major NCs, GoodWeave may inform the importer so that the Licensed Importer can take additional enforcement action.

4.3.1 In cases where labels are suspended, GoodWeave informs the Licensed Importer.

4.3.2 GoodWeave also informs the importer if there are major NCs under review by the Certification Committee where it is likely labels will be suspended.

4.3.3 In cases where GoodWeave informs the Licensed Importer of Major NCs and/or label suspensions, GoodWeave may provide the importer with a report that includes description of the non-compliance, date of the incident, and information related to decisions of the Certification Committee.

4.3.4 In addition to the above, GoodWeave may also inform Licensed Importer in cases where exporters misuse certification labels or fail to schedule annual audits.

5 Reporting to external parties

5.1 GoodWeave may be obligated by applicable law to report certain non-compliances to government authorities.

6 Confidentiality

6.1 Other than the information described in this procedure, GWI keeps information obtained during the inspection process confidential.

APPENDIX A

Version History

Version	Date (MM/YY)	Summary of Changes	Approved by
2.0	05/2021	SOP revised to read more clearly as an external procedure that explains to exporters how information obtained by GoodWeave during audits/inspections is shared; Appendix 1 – Flowchart of Certification Decisions, Non-Compliance and Corrective Actions Process removed; Appendix 2 Guidelines for Classification of NCs by Principle removed, included in P08 Expectations for Licensed Exporters (superseded by Certification Methodology); Section 4.3 on escalation of non-compliances revised and clarified.	Director of Standards and Certification
2.1	10/2026	Updated references to relevant policy documents; Added definitions; Reformatted	Senior Director of Programs

Effective and Validity Dates

Type	Definition	Date
Approval Date	The date that the version was approved by the person or group that has the authority to make changes.	October 5, 2026
Publication Date	The date that the document transitioned from draft to final version and made available to relevant stakeholders. For all publicly available documents, this is the date that the document is made available on the website.	October 10, 2026
Effective Date	The date of which the published document becomes applicable for use. This date does not necessarily match the date of publication.	October 10, 2026
Transition Period	The period of time after the effective date in which the new version of a published document is phased-in and in parallel the old version is phased-out. Both versions may be available for a specified period of time.	None – all aspects of this policy should already be followed. This is a formalization.
Period of Validity	Period of time for which a document is valid for use.	Until replaced or withdrawn

Other references used or consulted

The following documents were used as reference in the creation of this policy.

Title	Reference
Expectations for GoodWeave Licensed Exporters (P08)	https://goodweave.org/wp-content/uploads/2025/02/Expectations-for-GoodWeave-Licensed-Exporters.pdf

GWI IMC manual (SOP04)	On file.

Terms, Definitions and Acronyms

Term/Acronym	Meaning
CC	Certification Committee
GWI	GoodWeave International
GWI-CD	GWI Certification Division – the certification body for the GoodWeave system
IMC	Inspection, Monitoring and Certification
Licensee	An importer or exporter holding a current, valid license agreement with GoodWeave International
Licensed Exporter	A company that exports GoodWeave-eligible products and holds a valid GoodWeave exporter license
Licensed Importer	A company that imports GoodWeave certified products and holds a valid GoodWeave importer license
Certification Label	The GoodWeave product mark attesting that no child, forced, or bonded labor was used in production of the certified product
Eligible Product	A product type approved by GoodWeave for certification and labeling
NC	Non compliance with the GoodWeave International Generic Standard
Major NC	A non-compliance with a critical criterion of the Standard, including child labor, forced labor, or refusal of access
Minor NC	A non-compliance with a key but non-critical criterion of the Standard
PO	Purchase Order
USD	US Dollar