

Corrective Actions Report

Instructions to Auditee: Use this page to record the corrective action(s) and corrective action plan(s) taken to remedy a failed audit [i.e., an autofail, or a score below 85 percent (for certification options A1 or A2), or a score below 95 percent (for Options E and F), or a score below 100 percent (for options B, C D)], or to increase your audit score. You may need to take corrective action(s) to satisfy a minimum scoring requirement from a buyer, retailer, etc. (Note: If submitted corrective actions/plans are approved, the **final adjusted score** will be reflected on this Corrective Action Request (CAR) form only. The original checklist completed for your audit does not change as a result of corrective actions/plans.) This form should also be used to record the corrective action(s) taken to correct a finding in the review of the self-declaration and self-assessment checklist, the Group Management System (GMS) checklist, and the Management System Audit checklist for multi-site operations.

Prioritizing corrective actions: Autofail items need to be addressed immediately (these cannot be corrected with a corrective actions plan). Otherwise, refer to your audit report for auditor comments (i.e., Executive Summary page and sections where you lost marks). In all cases corrective actions and corrective action plans are subject to review by the certification body and may or may not be acceptable, depending on the situation. It is advisable to take action as soon as possible after the audit. Even so, under certain circumstances it may not be possible to correct a problem within a desired timeframe. For example, if production has ended, some corrective actions are not possible thus certification or adjustments to your score may not be able to occur until production resumes. For certification to options B, C, D, E and F, the program participant may be able to present a reasonable plan to implement corrective actions in the following year/season. The Certification Body/auditor will be responsible to make the determination in each case, and the program participant's effective implementation of the proposed corrective actions must be verified during the next audit. Contact your certification body if you have questions about the CAR process.

Timeframe: After receiving your audit report:

You have 60 days or until the end of your season, whichever is **sooner**, to remedy a failed audit, or to seek adjustments to your audit score through the corrective actions process. Within the required timeframe you must provide your certification body/auditor with evidence of the actions implemented or, for options B, C, D, E or F, with your corrective action plan. **Allow enough time (minimum 2-3 weeks) for the auditor and certification body to review and approve the corrective actions/plans you have implemented or developed.** Documentary evidence (records, photos, etc.) may be acceptable, or a follow-up visit to your site may be required. Failure to close out CARs in the required timeframe will result in loss of certification or loss of opportunity to increase your score. In exceptional cases (e.g., significant capital investments), the certification body may approve an extension to the timeframe. Discuss this with the CB immediately, and if applicable submit a corrective action plan for approval by the certification body within the close-out period.

For the self-declaration and self-assessment checklist, the GMS checklist, and the Management System Audit checklist for multi-site operations:
 - these checklists have their own timelines for closing out CARs as laid out in the CanadaGAP Program Management Manual
 - all items must be found to be compliant in order to pass these audit activities (i.e., operations must close out all CARs before certification can be granted)

Step 1: For each CAR, complete the following columns:

Column 2 - Indicate the item to be corrected. Include the Section and Question # of the item on the audit checklist.

Column 3 - Indicate what was done (i.e., action taken or plan description) to correct the issue.

Column 4 - Write the completion date.

Step 2: Sign and date the form. Attach additional pages as needed.

Step 3: Send the form and proof/evidence of the corrective action to your certification body or auditor. They will review the evidence and complete the remaining columns. You will receive a copy of the completed report from the certification body.

Auditee/Operation Name: Can-Am Pepper Company Ltd- Aylmer

Audit Date: 12-Aug-24

1	2	3	4	5	6	7
CAR #	Description of item to be corrected (Section and Question # on Audit Checklist) *	Action Taken to Correct Issue (e.g., attach photo, missing records) OR Action Plan [Options B, C, D, E or F] describe corrective actions that will be implemented next year/season]	Completion Date	Auditor's Findings/Observations/ Comments	Indicate new score for this item (if adjusted) **	Close CAR (Y/N)
1	A1) sections 7.2 and 15 improperly completed.	Forms redone. Storage tank cleaning records attached. water testing procedure corrected for next season	20-Aug	Observed corrected on August 26th at the next site audit.		4 Y
2	A3) No self- assessment done	Self assessment completed, in food safety binder	16-Aug	Observed corrected on August 26th at the next site audit.		2 Y
4	C2) Form V missing assessments for the jalapenos and bell peppers	Forms competed, in food safety binder for auditor to review	16-Aug	Form V completed separating the production sites covering all products.		12 Y
5	C4) Packing barn map missing the packing lines, storage areas and hand washing stations. Ag chemical storage tanks and portable bathrooms and not verified for 2024	Please see completed maps in food safety binder	14-Aug	Map provided with the changes made. Verification date on the form August 16, 2024		4 Y
7	C5) Main door by packing line not sealed along the bottom	See attached photo	16-Aug	Photo provided and approved		4 Y
8	C5) Weed buildup outside on east side, hole in south side barn and main door not properly sealed	Please see attached pictures to show completion	29-Aug	Photo of weeds removed provided, and fixed door.		4 Y
9	C6) Drainage issue in the packing barn	Maintenace called into to address issue. Will be fixed by drilling new holes to drainage pipes. Will be completed by July 2025.	26-Aug	CAP Approved		8 Y
10	D2) No records of production site equipment to review	Records of maintenance added to food safety binder. Records to be scanned and maintained by Food Safety to ensure compliance	Aug 13-ongoing	CAP Approved		2 Y
11	D3) No calibration records available for 3rd party contract sprayer	Farm manager showed auditor internal. Have been paid for and ordered for internal. 3rd party Ensure that I have all the information for anyone spraying prior to the spraying taking place. No return calls or emails from the person who did the spraying	12-Aug	Approved and CAP Approved for 3rd party		6 Y
12	D5) No record of clipper cleaning available for the pepper packing line	Records completed. Files attached and added to food safety binder	16-Aug	Clipper cleaning recorded Augsut 13-Sept 6 on form I.		6 Y
13	D6) Hoses observed on the groundby the pepper packing line	All hose ends properly stored, employees reminded of importance. Staff instructed to make sure hoses are properly stored. Retraining of staff and hoses now stored correctly for sanitation purposes. Picture attached	13-Aug	Photo provided and approved		3 Y
14	E11) PHI, EAHD and applicator info not recorded	Forms redone to include this information. Available for auditor to review on Oct 4	24-Sep	Reviewed Oct 4, 2024		10 Y
15	E13) No MRL	MRL information gathered and letter for growers written- available for auditor to review	24-Sep	Documentation observed Oct 4, 2024		6 Y
16	E9) Missing applicator licences	Have been paid for and ordered for internal. 3rd party Ensure that I have all the information for anyone spraying prior to the spraying taking place. No return calls or emails from the person who did the spraying	24-Sep	provided licenses for Colby and Landon for internal applications. CAP Approved for 3rd party		10 Y
17	F5) No cleaning records for sprayer storage tanks available for review	Records obtained by employee who filled them out. Added to file and binder	13-Aug	Form I completed and provided for the tank.		4 Y
18	G2) Spray bottle in the trailer storage area with solution not labelled.	Spray bottle removed. Employees instructed to only use labelled cleaners/solution	13-Aug	Approved		4 Y
19	H3) Observed ld chemical container being used in hycrocooling pit. Empty chemical containers of Aprovia at the back of pepper packig barn	All containers removed and properly disposed of. Please see attached pictures	13-Aug	Photo provided with container removed		4 Y
20	I1) Portable 1 had no hand sanitizer stocked for use. Portable toilet missing toilet paper, paper towel and hand sanitizer.	Castle Sanitation called to go out. Sanitizer stocked in all portable toilets. Maintenance increased to twice a week. Please see corresponding pic.	13-Aug	Photo provided with the hand sanitizer in the portable.		10 Y
21	I2) I4) No hand wasing signs in place by second portable by bell pepper field. Missing handwashing sign in the 1 portable by packing barn	All portables serviced and missing signs hung back up. Please see attached pictures	16-Aug	Hand washing sign photo provided.	2+2	Y
22	I3) 2 portables outside the packing barn missing toilet paper and hand sanitizer	Castle Sanitation called to go out. Sanitizer stocked in all portable toilets. Maintenance increased to twice a week. Please see corresponding pic.	13-Aug	Photo provided with the hand sanitizer in the portable.		10 Y

23	J4) Employees observed touching faces, changing gloves and eating and drinking without handwashing. Improper use of hand sanitizer.	Employees retrained on hygiene practices. Training sheets attached.	21-Aug	Training records provided for the graders and field members	4	Y
24	I5) Portable toilets are not checked daily	Supervisors given sheets and instructed to check daily. Please see attached forms.	16-Aug	Form J Daily Records provided	6	Y
25	I6) First aid kit in the pepper packing barn missing band-aids	Kit replenished. See attached photos	16-Aug	Photo provided	6	Y
26	J1) Interviews with personnel in production site indicate training has not been done for piece rate	Locals retrained. Please see training records in the food safety binder	24-Aug	Retraining records provided	4	Y
27	J2) Form C Missing Verification Date	See attached	13-Aug	Form C signed August 13, 2024	8	Y
28	K2) Visitor Log not available for 2024	visitor logs made available at all sites. Visitors instructed to sign in. Please see picture	14-Aug	Visitor log provided.	2	Y
29	L2) Form F not available for review	Please see attached form	16-Aug	Form F provided.		
30	L3b) No prior first use water test completed for cleaning	Corrective action moving forward	13-Aug	CAP Approved	8	Y
31	L3a) no prior to first use test completed. Notest results for the 2 final rinses and 2 nozzles	2 final rinses and nozzles tested. See corresponding water tests. Item added to my list of items that need to be reviewed each season to ensure nothing is missed, Prior to first use as CA for next year	24-Aug	Water tests provided under JWL results. CAP Approved from 2025.	10	Y
32	L5) Instructions not available for mixing or testing water treatment	Selectocide SOP completed. Please see attached file	24-Aug	Updated SOP provided with label rates and procedures	6	Y
33	L6	Ensure when water testing is done to indicate on the records if there is a deviation of product. CA- Add a space to the record to keep track of this	09-Dec	Updated monitoring record provided.	6	Y
34	M3) Damaged, improperly placed, and missing traps	Rentokil called out immediately to service traps. Attached email shows plan to install guards and replace all damaged traps. Task assigned to the daily assessment for each production site as well as monthly inspections for JHSC.	13-Aug	CAP approved and communication with rentokil provided for additional services.	8	Y
35	N1) No records available for harvest hampers or bin cleaning	see attached file in season. Harvest hampers and bins to be cleaned prior to start up and then regularly cleaned and documented. This documentation to be sent to Food Safety to ensure compliance.	13-Aug	CAP Approved	10	Y
36	N4) Pepper packaging observed on the ground and up against the wall from toppled pallet	All packaging and pallets cleaned and employees reminded on proper procedure. Pallets provided for packaging. This will be reviewed in the spring orientation covering the importance of non-contamination and the importance of keeping things clean and safe.	15-Aug	Approved	6	Y
37	O1) No PHI Verification on record	PHI completed. Auditor can review on Oct 4. Ensure that document created is signed off to make sure that proper time has elapsed between spraying of the field to when the product is picked and packaged	24-Sep	CAP Approved	10	Y
38	O2) No production site assessment done	Production site assessments completed. In binder for review. Moving forward this is a daily expectation and paperwork to be scanned to Food Safety to ensure compliance PHI and Harvest record	24-Aug	Updated document provided to confirm the requirements for PHI provided.	4	Y
39	P6) Improper EMP testing	This task will be assigned to the barn manager to ensure the testing is done 3 times per day and results are sent to Food Safety, failure to do this will include discipline.	17-Jul	CAP Approved	5	Y
40	P7) Supplier approval program incomplete	see attached file	15-Aug	Observed Oct 4th, 2024	2	Y
41	T4) Mock recall incorrect	Redone	20-Aug	CB Contact observed. Redone recall observed Oct 4, 2024.	10	Y
42	A5) Prior corrective actions not completed at this audit	Change to the management through HR; I am trying to ensure that I am responding to everything moving forward.	2025	CAP Approved	2	Y

* Indicate the section/question from the relevant checklist if the Audit Checklist is NOT being used

** If the checklist is not scored, indicate if the item is compliant/not-compliant

Instructions to Auditor:

1. Complete columns 5, 6, and 7 (above) based on the information you received.

2. Populate column 8 of the 'ADJUSTMENT TO SCORE' table (below) with the original score for each subtotal on **page 4 of the original completed audit checklist**. Enter the values EXACTLY as they appear on the original completed audit checklist. If a subtotal is "N/A", enter "N/A."

3. Rescore the original completed audit checklist with the adjusted scores from column 6 (above).

IMPORTANT NOTE: The updated audit is NOT an official audit record, just a tool to populate the CAR form. The ORIGINAL audit report is the OFFICIAL audit report and does not get updated once CARs are completed.

4. Using the rescored audit checklist, enter the new score for each subtotal in column 9 based on the corrective actions. Complete the rest of the 'ADJUSTMENT TO SCORE' table using the rescored audit checklist to determine the new adjusted % and the final adjusted score.

5. Check that all the autofail items have been cleared.

6. Make a note if the final result is a pass or a fail.

ADJUSTMENT TO SCORE (to be completed by Auditor if applicable)						
8			9		10	
Original Score (see completed audit checklist - page 4)			New score for subtotal based on corrective actions		Adjusted percentage (after conversion):	
Subtotal 1: Original Score	64.5	Subtotal 1: New Score	91	Adjusted percentage:	15	
Subtotal 2a: Original Score	28	Subtotal 2: New Score	42	Adjusted percentage:	10	
Subtotal 2b: Original Score	0	Subtotal 2b: New Score	6	Adjusted percentage:	5	
Subtotal 3: Original Score	4	Subtotal 3: New Score	8	Adjusted percentage:	5	
Subtotal 4: Original Score	44.5	Subtotal 4: New Score	82	Adjusted percentage:	20	
Subtotal 5: Original Score	14	Subtotal 5: New Score	32	Adjusted percentage:	15	
Subtotal 6: Original Score	54	Subtotal 6: New Score	79	Adjusted percentage:	20	
Subtotal 7: Original Score	43	Subtotal 7: New Score	46	Adjusted percentage:	10	
Final Adjusted Score:				100		

All Autofail Items Cleared?

Yes NO
 N/A (no autofail items)

Final result:

Pass Fail

Auditee signature: Sarah Sutherland _____

Date: _____ 09-Dec-24

Auditor signature:  _____

Date: _____ 09-Dec-24

Approved by CB reviewer (if applicable): _____

Date: _____