

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. Audit Date: Aug 26th

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	2.4/2.5 Customer complaints aren't available and no procedure	I sent you the excel file and SOP to change this effective immediately	Nov 28/24	Approved	Compliance Y	
2	3.1 No annual review of customer complaints.	Review going to take place in April 2025 and again in Nov 2025	Nov 28/24	Approved	Compliance Y	
3	3.2 Internal audit policy in place however, no reports or audits done.	Will be done in April of 2025 and Nov 2025	Nov 28/24	Approved	Compliance Y	
4	3.3 No reports or internal audits done	Will be done in April of 2025 and Nov 2025	Nov 28/24	Approved	Compliance Y	
5	4.1, 4.2, 4.3 No job descriptions available	I have sent you the job descriptions which would be in charge of food safety	Nov 29/24	Approved	Compliance Y	
6	4.4, 4.5, 4.6, 4.7, No one on site has CGAP training	I have registered for the course and will be taking it on Dec	Nov 29th	Approved	Compliance Y	
7	5.1 No audits have been done internally	I will be able to do internal audits after Dec and will look into taking the course in 2025.	Nov 29/24	Approved	Compliance Y	
8	5.3 Review the reports and findings	We don't have a certified auditor yet but we will at least be able to look at my reports until I can take the course.	Nov 29/24	Approved	Compliance Y	
9						
10						

* 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:

- Complete columns 5, 6, and 7 (above) based on the information you received.
 - 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."
 - 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.**
- 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.
 - Check that all the autofail items have been cleared.
 - 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	Subtotal 1: New Score	Adjusted percentage:	
Subtotal 2a: Original Score	Subtotal 2: New Score	Adjusted percentage:	
Subtotal 2b: Original Score	Subtotal 2b: New Score	Adjusted percentage:	
Subtotal 3: Original Score	Subtotal 3: New Score	Adjusted percentage:	
Subtotal 4: Original Score	Subtotal 4: New Score	Adjusted percentage:	
Subtotal 5: Original Score	Subtotal 5: New Score	Adjusted percentage:	
Subtotal 6: Original Score	Subtotal 6: New Score	Adjusted percentage:	
Subtotal 7: Original Score	Subtotal 7: New Score	Adjusted percentage:	
		Final Adjusted Score:	100%

No Score on this, everything has been addressed and submitted in

All Autofail Items Cleared? Yes No
 N/A (no autofail items)

Final result: Pass Fail

Auditee signature: Sarah Sutherland Date: Nov 29/24

Auditor signature:  Date: 09-Dec-24

Approved by CB reviewer (if applicable): _____ Date: _____