

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- Straffordville Packing Audit Date: October 4/24

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	I2) Hand washing station inportable 2 is missing hand sanitizer	Hand Sanitizer was replaced during auditors visit.	Oct 4/24	Approved	2 Y	
2	J4) Observed employees wiping noses and face with gloves with no handwash. Observed an employee drinking water with gloves on and no hand wash or glove change beofre returning to work	Employees retrained in personal hygiend and food safety. Records attached to email	Oct 18/24	Training recorded provided	4 Y	
3	A4) Missing cleaning and inspection records since last audit	Cleaning of lines, clippers and bins done daily, manager caught up on forms moving forward. Change to the management through HR; I am trying to ensure that I am responding to everything moving forward. Documents are to be them scanned daily to Food Safety to put into the correct file for compliance.	2025	CAP Approved	6 Y	
4	D8) Cleaning records done August 5th through 24th but no records since.	Cleaning was being completed, manager caught up with forms moving forward. Records attached to email	Oct 30/24	Recorded completed since the audit and provided	2 Y	
5	G2) Pump sprayer with chemicals not labeled in the lunchroom.	Facility inspected for unlabeled sprayers and given appropriate labels. Pic attached to email	Oct 7/24	Photo provided- approved	4 Y	
6	J4) Earrings and watches on the packing line.	Employees retrained in food safety, records attached to email	Oct 18/24	Retraining document provided	4 Y	

7	M2/3 Traps are not labelled around the facility, traps are rearranged, missing, damaged	Exterminator was contacted promptly to service sites and all issues were addressed. 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.	Oct 15/24	CAP approved and communication with rentokil provided for additional services.	6+8	Y
8	N2) observed packing being made and stored on the ground	Employees retrained on proper procedure to assemble and store packing. Sign offs attached to email. 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.	Oct 18/24	Approved training documents and refresher in 2025.	6	Y
9	P1) Valid Certificates are not available for product received	Suppliers contacted for updated certificates. Southwest Tobacco attached to email	Oct 14/24	Provided and Approved	20	Y
10	P6) Samples taken from packing line were done but no results recorded	Samples were taken, results were filled out in missing forms. CAP- Training of staff to outline the expectations, records scanned to Food safety daily for record keeping and	Oct 7/24	Approved	5	Y
11	T4) CB contact missing information on mock recall	Contact info added	Oct 5/24	Approved	10	Y
12	U1) HACCP for 4 is missing the flow diagram onsite for the location	Onsite flow diagram adjusted and added. Attached in email	Oct 16/24	Approved	20	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	46	Subtotal 1: New Score	52	Adjusted percentage: 15
Subtotal 2a: Original Score	NA	Subtotal 2: New Score	NA	Adjusted percentage: NA
Subtotal 2b: Original Score	NA	Subtotal 2b: New Score	NA	Adjusted percentage: NA
Subtotal 3: Original Score	NA	Subtotal 3: New Score	NA	Adjusted percentage: NA
Subtotal 4: Original Score	44	Subtotal 4: New Score	62	Adjusted percentage: 20
Subtotal 5: Original Score	NA	Subtotal 5: New Score	NA	Adjusted percentage: NA
Subtotal 6: Original Score	43	Subtotal 6: New Score	71	Adjusted percentage: 20
Subtotal 7: Original Score	64.5	Subtotal 7: New Score	68	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: _____