

**CHAPTER 10****CANADAGAP  
CERTIFICATION RULES****CONTROL UNION SERVICES S.A.C.**

## 1. SCOPE AND APPLICABILITY

### 1.1. APPLICABILITY

The CanadaGAP Certification rules is applicable to all applicants in CanadaGAP program.

### 1.2. SCOPE

a) The following documents are applicable for the CanadaGAP certification program:

- CanadaGAP Program Management Manual- Component 3
- CanadaGAP Program Management Manual- Component 6 (CanadaGAP Addendum for Pollinator Health)
- CanadaGAP Fruit and Vegetable Manual
- CanadaGAP Greenhouse Manual
- CanadaGAP Appendices
- CanadaGAP checklists according to the scope/option:
  - CanadaGAP audit checklist for production, packing, repacking, storage, wholesaling and brokerage of Fruits and Vegetables and Greenhouse products
  - CanadaGAP Group Management system checklist
  - CanadaGAP Multi-site Management system checklist
  - CanadaGAP Addendum for Pollinator Health checklist

The current versions of these documents can be found on the CanadaGAP website: <https://www.canadagap.ca/>

b) Scope of the audit covers the following:

- Activities: Production, packing, storage, repacking, wholesaling, and brokerage.
- Crops/commodities:
  - For Production, packing and storage: ONLY those included in the manuals Fruit and Vegetables, Greenhouse.
  - For Repacking, brokerage and wholesaling: Fresh Fruits and Vegetables

Only commodities listed in the CanadaGAP Food Safety Manuals may be included under the production scope of a CanadaGAP certificate. These commodities have undergone HACCP-based hazard analysis within the CanadaGAP Program. Commodities not listed in the manuals cannot be included in the certification scope.

- Options:

No GFSI-recognized:

- Option A1
- Option A2
- Option E
- Option F

GFSI-recognized:

- Option B
- Option C
- Option D

The applicant is responsible for ensuring their chose certification option is acceptable to the market and their customers, CU nor CanadaGAP, are not in a position to interpret customers' varying requirements.

c) Unannounced audits for CanadaGAP certification\*

For Options A1, A2, CU needs to do 5% of Unannounced to all the certified applicants every year. This audit takes place instead of the scheduled audit.

For Options E and F, CU needs to do 10% of Unannounced to all the certified applicants every year. This audit takes place instead of the scheduled audit.

For Options C and D only, CU needs to do the 10% of Unannounced audits to all certifier applicant every year. In case the applicant is selected for an unannounced audit in the year, CU offers (2) options:

- Unannounced audit Option 1: having 1 audit in the year as unannounced audit (the regular one).
- Unannounced audit Option 2: having 2 audits in the year, one as unannounced and one announced.

CanadaGAP does not include certification for retailing or processing of fruits and vegetables, including Minimal processing, Processing (e.g. cooking, freezing, canning, dehydrating, etc.), Production, packing, and storage of products outside the program scope (e.g. sprouts, microgreens, nuts, mushrooms, etc.) Processed products, commodities not grown on a commercial scale or at all in Canada (e.g. citrus, tropical fruits, etc.), Repacking, brokerage and wholesaling of fresh sprouts, repacking of enoki mushrooms, minimally processed fruits and vegetables or hermetically sealed containers fresh fruit and vegetables.

## 2. DEFINITIONS

### 2.1. DEFINITIONS RELATED TO THE STANDARD.

- **CanAgPlus:** Established in 2012 to operate the CanadaGAP Program. CanAgPlus is a not-for-profit organization whose members are participating in the voluntary CanadaGAP food safety certification program for production, packing, storage, repacking, brokerage and wholesaling of fresh fruits and vegetables.
- **CanadaGAP Program:** for operations who need to demonstrate to their customers that they are following the CanadaGAP manuals.
- **Enrolment Form:** Form provided by CanadaGAP (website) to apply for CanadaGAP program before get in contact with CU.
- **Applicant:** The applicant is also known as the owner of the certificate.

## 3. EVALUATION PROCEDURE

### 3.1. CONTRACTING

- a) The applicant will confirm the related scope completing the CanadaGAP Enrolment form selecting CU and pay for the annual program fee directly to CanadaGAP. Each year reconfirm the enrolment to CanadaGAP and if changes in the operation, complete the Change of Status form from CanadaGAP website. Enrolment forms are completed once (for the first application to CanadaGAP). For consecutive years, CU will confirm with CanadaGAP the applicant's good standing with the scheme owner.
- b) CanadaGAP will review the enrolment form and forwards to CU.
- c) Once CU is selected as the certification body (CB), CU will send the CanadaGAP application form to be completed to obtain the general operation information and define the audit scope for the year. CU will then quote the cost of the audits and establish a contractual relationship with the applicant through the signing of the CU offer letter before the audit of the year is executed.
- d) In the case of CB transfers, applicants must submit their transfer request to CanadaGAP by completing the Change of Status form available on the CanadaGAP website. Certified companies requesting a CB transfer can do so before their certificate expires. They must provide a copy of the previous audit report, corrective action

report, and certificates if previously certified. CU may contact the outgoing CB to request information about the transferring applicant, such as any contractual obligations, restrictions under the outgoing CB's policies, or whether the applicant was selected for an unannounced audit and failed to comply. If the latter is the case, CU will conduct the first audit as unannounced. CU will verify the audit date and scope of any existing certification against the requested audit scope. The transfer is accepted once the offer letter with CU is signed.

- e) Option A1 and Option A2 cannot transfer CBs for a minimum of four consecutive years. If an applicant chooses to transfer CBs before the end of the four years, they must restart the audit cycle in Year 1, with a full on-site audit by the new CB. Any change in the scope (e.g., certification option) during the audit, once approved by the certifier, may require an additional audit fee payment to CU, extra audit time for the auditor to complete the audit, and a new program fee payment to CanadaGAP.
- f) For Surveillance audits for A1 and A2 - Self-assessment and Self-declaration review: Please note that this is an annual review to maintain certification. CU will schedule the review of the documents provided, and no fees will be charged, as this is covered by CanAgPlus.
- g) Certified operations who wish to change certification options must inform CanadaGAP through the CanadaGAP Change of Status form, send it to CanadaGAP at least fifteen (15) business days before the scheduled audit. If you have been enrolled in a group and wish to switch to an individual certification option (A1, A2, C, D, E or F) submit a completed enrolment form.

### **3.2. PLANNING:**

After receiving payment for the audit and certification services, CU will schedule the visit. The planning will be based on the scope of the application..

It is the applicant's responsibility to comply with CanadaGAP's requirements for maintaining a minimum of records keeping, a minimum of 3 months of the season records are required to pass the first CanadaGAP audit (Initial audits).

Split audits (over two or more on-site visits that are separated in time) are now allowed for the CanadaGAP audits.

In the case of a CB transfer, for all certification options, the applicant's audit shall be scoped as if they were a new applicant (i.e., all crops/activities or crop/activity combinations must be reviewed before being included in the certificate; exceptions may be granted by CanadaGAP)

### **3.3. INSPECTION TIMING:**

Applicants are responsible for communicating with CU and/or the assigned auditor any changes in the timing of relevant activities (harvest, packing, etc.) and/or crops that could affect their audit timing.

#### **3.3.1. Initial inspections:**

- a) The audit shall be conducted during the harvest, product handling, packing season, shipping of product, and storage period in use, depending on the applicant's scope.

Note that for the production scope only, if the operation is still in the harvest season but not actively harvesting on the audit date, the audit should still proceed. This will be determined by CU case by case.

For the packing scope, the audit shall occur during the packing season. If no packing is taking place on the audit date, the packing line and facilities should be set up, and there may be products in storage.

For Repacking/Wholesaling /Brokerage, audit is at any time of year that the facility is in operation and product is being handled/brokered.

For Production AND Packing scope will depend on the certification option:

A1, A2, E: audit done during packing (or when harvesting and packing), if necessary will be scheduled during storing and shipping-exception only to certain storage crops.

For Option C and Option B group members, the audit must be conducted during both harvesting and packing. If this is not possible, or in the case of complex operations, more than one audit per year will be required so that both processes can be observed in real time. An additional unannounced audit can be scheduled if the Unannounced Option 2 has been selected.

\*For multi-product (complex) operations: it is preferable for the initial audit to be scheduled at a time to allow for the observation of as many crop/activity combinations as possible. So, ensure that the crop/activity combinations that operation most needs certified are observed during the initial audit. For Options A1, A2 and E subsequent audit may be required at different times of the year to cover the range of commodities and activities.

- b) Additional visits may be needed in the first year to get all scopes on the certificate.
- c) \*For Option B projects, the announced audit to the Group Management system (central function) + audits to group members (following the sample according to the product/activity category risk (Level 1, 2, 3, 4).
- d) \*For Multisite-projects same instructions as Option B. For Options D and F, no sampling is permitted, all sites shall be audited in the first year and annually.

CU will determine the scope for your audit including the activities and commodities to be seen in the year.

### **3.3.2. Subsequent inspections (Re-certification)**

- a) A minimum of one surveillance activity must occur during each calendar, with the date of each surveillance activity being no more than 12 months after the date of the previous audit.
- b) In exceptional circumstances such as cases where, for valid reasons, initial certification audits did not take place at an optimal time (e.g., during harvest or packing), or with applicants who have multiple commodities and/or activities, it may not always be possible to schedule subsequent audits in a way that fulfills the previous item. In certain cases, an extension to the certificate validity period and/or adjustment to the original certification cycle may be required, no more than 6 months can be granted.
- c) For Multi-product operations/activities, shall occur at different times of the year to cover the range of commodities and activities over a 3–4-year timeframe audit coverage of all processes and crops within the scope of the certification is required. Some crops/Activities need to be seen more often based on the risk, in general terms, higher risk crops and activities includes.
- d) Applicants in Option A1, A2, E and F with multiple crop and activities need to have ALL crop/activity combinations audited every 4 years, alternating schedule is not possible since the time between audits is 4 years.
- e) Operations for Option B, C and D (GFSI-recognized), an audit shall be completed annually on each GFSI-recognized scope. Operations that include both “Production and packing” more than one audit may be required in a given year. Harvest and packing-related activities MUST be observed annually. If the certification includes both greenhouse and field for Option C, the audit must include observation of greenhouses and field products to maintain certification.
- f) For Option D, all sites shall be visited.
- g) For operations with multiple production sites (but not considered multi-sites), the main facility must be visited each year. The decision to inspect other sites annually may depend on factors such as proximity, the number of sites, similar conditions, distance, chemical storage, wells, or other items/activities where risk must be assessed. This approach also applies to operations with several long-term storage facilities (e.g., potatoes); if the facilities are similar, they may be sampled over time.
- h) Multiple locations/facilities, packing activities must be seen annually.

- i) For Multisite operations: annually the audit includes a management system audit to the central function + a sample of sites according to the risk category of the products/activities (Level 1, 2, 3, 4). The sample sites are visited after the Management system audit, if necessary, a small number may be audited prior the central function. The sample is always rounded upwards to the next whole number if there are any decimals. The selection by the auditor shall be selective and partly nonselective but at least 25% of the sites chosen shall be randomly selected from the total number of sites. Selected sites shall be identified based on the organization's internal audit programme findings and the site risk profiles. For Options A1 and A2 applies during audit years on-site, not in self-assessment years.
- j) For Option B, the annual announced audit to the GMS + audits to group members (following the sample according to the category risk of crops/Activities (Level 1, 2, 3, 4). GMS audit is done BEFORE the sampling of group members sites.  
Sample size can be increased based on risk factors like audit scope, types of activities on-site, findings of the central management system audit, findings at sampled sites/members, customer requirements.

### **3.3.3. Random audits: for Options A1 and A2**

- a) Selected randomly by CanadaGAP, these are mandatory. The applicant must complete the self-declarations and self-assessments and submit them to CU. Deadlines are communicated by CanadaGAP to the applicant, but they must be at least one month before the certificate expires. The complete documents must also be submitted to CU at least one month prior to the certificate expiry date.
- b) Applicants are advised that there will be no follow-up contact (emails or phone calls) by CanadaGAP or CU if completed forms are not submitted on time AND to regain certification status after letting the certificate lapse, the applicant is required to restart the four-year audit cycle.
- c) Applicants that complete and send the self-declarations and self-assessments on time, but fail to cooperate for additional information requested by CU will result in:
  - An on-site audit by the CU at the applicant's expense
  - Loss of certification
- d) Once the documents are complete and presented, the random audit is scheduled.
- e) Refusal to cooperate with CU in scheduling the random audit will result in suspension or withdrawal of certification and will prevent re-enrollment in the CanadaGAP program for one year following the withdrawal of certification

### **3.3.4. Unannounced audits (UNA) are always full audits, it means a Full CANADAGAP audit checklist is used.**

- a) A minimum of 5% of certification options A1 and A2 applicants will be required to have an UNA each year and a minimum of 10% of certification options C, D, E and F applicants will be required to have an UNA each year.

\*Options A1 A2, E and F (No GFSI recognized): UNA will take place instead of a scheduled audit (NOT additional to a scheduled audit) while activities relevant to the scope are occurring. CU will notify applicants within 2 to 5 business days. In case the producer refuses the UNA with justified reasons a warning letter will be issue and another notification will be sent (within 2 to 5 business days), if the second notification is also refused, the certification will be suspended, or withdrawal and the applicant will not be allowed to reenroll in the program for one year since the withdrawal of certification.

- If the UNA is accepted but the applicant is not prepared to proceed when the auditor is on site, the applicant will be charged for auditor time and travel, this situation put the applicant's certification in jeopardy. If possible, the auditor will return to another UNA during the current season.
- About projects selected for UNA and selected for random audits (A1, A2 options) by CanadaGAP, the applicant will not be told the exact date of the audit. Likewise, if they already expect to be audited in the year (because they are due for an audit in their four-year cycle), this audit could be unannounced. They will still know in advance that they are having an audit sometime this year. Option A1 and A2 applicants will see no change to their four-year audit cycle and will see no change to the way the random audits work.
- UNA for Options A1 and A2 will be scheduled only during the year an on-site audit occurs, unless a random audit is scheduled also.

\*Options C and D (GFSI recognized): Two option options available for this UNA, Unannounced audit Option 1 (UA Option 1) and UA Option 2, to be chosen in the CU application form during application.

- UA Option 1: takes place instead of a regularly scheduled audit, and during which the auditor must observe the crops/activities that need to be seen that year. Blocking harvest or shipping for example is not possible.
  - UA Option 2: the applicant would undergo 2 audits in the year's crop: one announced (regular schedule) and one unannounced (no prior notice of the exact audit day or time), this unannounced audit must be for the same crop year/season as the announced audit but no need to be schedule during the harvesting, packing, etc., and can be either or after the announced audit. An audit window (30 day-period, could be less) will be defined by CU based on each reality of the applicant operation, and will inform at least 30 days before the audit window starts, the applicant may indicate one blackout date for every six days within the audit window (e.g., 30-day audit window allow 5 blackout dates, this in addition to public holidays for example. The applicant shall notify CU the blackout dates at least (8) weeks in advance. The scope of the UA can be a different crop/activity than the one observed during the announced, but the UA cannot substitute for a triggered audit.
- b) For both options no advance notification of exact date and time- Auditor will show up completely unannounced. Applicant will have a general idea only that the unannounced audit will happen and is responsible of keeping CU informed and updated on the timing of the crops/Activities that need to be seen in these audits so schedule can be done properly (UA Option 1). CU will contact applicants in advance to address audit timing, health, and safety policies (between January-April). Max. (5) five blackout dates are permitted (in addition to closing days in the operation). Blackout days may be indicated by applicant to CU at least 8 weeks in advance through the CU Application form.
- c) If the Unannounced audit doesn't proceed, then CU will re-schedule the audit, and the applicant will bear the cost of the auditor's visit. If the second attempt (without prior notice) also not proceed due not valid reasons, applicant will loss of certification until the following year/season when an unannounced audit can occur.
- d) There is no guarantee that the auditor will be available to reattempt the audit this may delay the re-scheduling and/or lapse in certification if a follow-up unannounced audit cannot occur in a timely manner, potential loss of certification is also possible if the audit cannot be done before the end of the season.

\*Option B/Multi-sites:

- a. UNA are done annually, the 25% of the members/sites selected to be audited shall be UNA.
- b. UA Option 1 and UA Option 2 also applies, and no advance notification is allowed.
- c. UNA will follow a certification decision; maintain certification, suspension or withdraw as the results of the findings.

### 3.3.5. Trigger audits

- a) Scheduled in case of potential food safety issues, always a full audit.
- b) For Options A1 and A2 the trigger audit becomes the surveillance activity for the crop year in question. When an Option A1 or A2 program participant is subject to a triggered audit due to a change in management or ownership, the four-year audit cycle will be set to Year 1 (i.e., the triggered audit becomes the new Year 1 of the four-year audit cycle). Similarly, if a change to the scope of the operation triggers a new full audit for an Option A1 or A2 client, and all scopes (crop/activity combinations) are seen during the triggered audit, CU will reset the operation's four-year audit cycle to year 1 (i.e., the triggered audit becomes the new Year 1 of the four-year audit cycle).
- c) Option B projects may include the GMS audit.
- d) Also trigger audits can be planned in the following cases: A change to the scope of certification; Major changes in operations or processes; Changes to the legal, commercial or organizational status or ownership and/or the management (e.g., key managerial, decision-making or technical staff); Changes to the location of the sites included in the certification; Serious concerns raised by CU's review of self-assessments; Complaints received by the certification body or by CanadaGAP; Audit finding that the program participant is not continuously maintaining their food safety program.

### 3.3.6. Self-declarations and Self-assessment reviews (ONLY for Options A1 and A2)

- a) Annually - if not selected for random audit, must complete sworn declaration and self-assessment, annually review by CU as a desk study.
- b) If no conformities are raised as part of this evaluation, applicant shall complete the Corrective action report.
- c) If during the review of self-assessments corrective action are requested, the fees for reviewing them are at the applicant's expense BUT the cost of the review of the self-assessment itself and the issuance of new certificates is already covered by the applicant's annual program fees to CanadaGAP.

**3.4. AUDITOR/LEAD AUDITOR**

- a) The lead auditor/auditor acts in accordance with CU procedures.
- b) The CU lead auditor/ auditor will also respect the CU Code of Conduct/Confidentiality/ Non conflict of Interest as also the CanadaGAP COI (Conflict of Interest).

Auditor: conducts inspections of Options A1, A2, C, D, E and F. Multisite operations and Audits the Management systems.

Lead auditor: conducts audits to Option B.

**3.5. INSPECTION/AUDIT**

- a) CU has the right to conduct announced, unannounced and trigger audits.
- b) A qualified lead auditor / auditor will perform the inspection at the facilities declared in the Application form.
- c) The evaluation regarding whether the applicable requirements are met will be carried out through physical evaluation and administrative at the producer's operations, sites, storages, packing house, group members declared by the applicant. CU will provide an audit report with the inspection findings.
- d) Changes area acceptable during the opening meeting like change of certification option (e.g., Option D or F) if CU approves it, but applicant shall consider that the change of certification option can include additional audit fees, extra audit time, and program fee payment to CanadaGAP. All changes in your operation shall be communicated to CanadaGAP through the Change of Status form. Changes like reducing scope are also valid, auditor will require your confirmation in the audit plan to proceed.

**3.6 REVIEW OF THE REPORTS**

Once the audit is concluded, the auditor presents the report, and the technical reviewer conducts its review.

The revised audit report(s) will be sent to the applicant via email within 30 business days of the audit date, regardless of whether the applicant passed or failed the audit. If the applicant needs to submit corrective actions, the deadlines mentioned in section 3.7.2 will begin from the report submission date. CU will email the revised report, the summary of non-conformities, and a letter indicating the deadlines for the closure of the CAR. CanadaGAP will always be copied on the email.

**3.7 CONDITIONS TO ACHIEVE CERTIFICATION**

To be certified under CanadaGAP program, applicant must comply with score according to the scope described below:

<b>A1 or A2 (not GFSI recognized)</b>	at least 85% + No auto fails items
<b>E and F (not GFSI recognized)</b>	at least 95% + No auto fails items
<b>C or D (GFSI recognized)</b>	100% + No autofail items
<b>Multi-site</b>	100% + all requirements on the Management System Audit checklist for multi-site operations

<b>(A1, A2, C, D, E and F)</b>	*Need to comply with GFSI requirements*
<b>Option B</b>	100% with all requirements on the GMS checklist AND all sampled sites must have no autofail items and achieve a score of 100% on the audit checklist, with no auto failures.
<b>Addendum for Pollinator Health</b>	Passing score 11/15 AND meet all mandatory requirements in the checklist (5 mandatory control points)

Achieving 100% score may occur following completion of corrective actions or having approved corrective action plan for the subsequent year/season, depending on the nature of the corrective action requests issued to the applicant.

If successful, a certificate is granted to the auditee and will be published in CU Services website in a monthly basis the certification status. For Option B-certified groups, the certificate annex listing the group members will also be available.

If applicant got at the end of the audit auto fails, does not achieve a passing score on the audit (less than 85% Options A1 and A2, less than 95% options E and F; less than 100% score for Option B, C and D) OR chooses to increase their audit score due a customer request (Option A1, A2, E, F), and for Addendum Pollinator Health failure to achieve a passing score and/or failure to meet all mandatory requirements applicant shall present corrective actions.

Closed and approved Corrective Action request will lead to a positive certificate decision.

**3.7.1 To be considered:**

- a) Automatic failure items shall be corrected first and then follow Executive summary of the audit report to determine higher priority corrective actions already identified by the auditor.
- b) They shall present corrective actions to CU using the Corrective Actions form from CanadaGAP. This should be done after the reception of the audit report and before the certificate decision is made. After the audit day you can start working on the closure of the CARs.
- c) All the corrective actions must occur before your season ends.
- d) Having completed the format, the applicant may be able to present a reasonable plan to implement corrective actions in the following year/season. This can be in the form of documentary evidence or photographic.
- e) For multi-site operations, non-conformities found on sites shall be assessed to ascertain if these indicate an overall Food Safety System deficiency and therefore may be applicable to all or other sites. If non-conformities relate to all or other sites, corrective action shall be undertaken and verified both by organization and by CU.

**3.7.2 Timelines for corrective actions (CARs):**

- A1, A2, E and F is 45 calendar days from receipt of the audit report OR at the end of the operation’s season, whichever is sooner.
- C and D auditees have 45 calendar days from receipt of the audit report OR at the end of the operation’s season, whichever is sooner.
- Review and closure of CARs evidence must be done within 60 calendar days of issuing the audit report. The 60-day period includes the time (up to 45 calendar days or before the end of the operation’s season, whichever is sooner) that the auditee has to respond to the CARs. This means that CU/auditor would have at least 15 calendar days to review evidence of the implemented corrective actions, and to make the certification decision.
- A longer timeframe than 60 calendar days for CAR closeout can be granted in exceptional circumstances (e.g., if a significant capital investment is needed, such as replacing a cooler or packing line, etc.)

- Option B projects, in initial certification, the timeframe to close out CARs is 3 months after initial audit. If no CARs in the 3 months a new audit is required for certification. Subsequent audits, timeframe is 28 days after the audit date, if no CARs closed in the 28 days, the group would get suspension.

If no corrective actions or the proposed corrective action plan for the following year/season WILL NOT BE certified or will have certification withdrawn.

For Multisite all sites are affected in certification.

For Option B group members, consider if non-conformities are found on one member site relating to all or other member sites, corrective action shall be undertaken and verified both by Group management and by the CU.

The operation's effective implementation of the proposed corrective actions must be verified during the next audit or in case a further visit is required a surveillance audit will be planned to verify corrective actions, the applicant is responsible for resulting fees charged by CU.

Closed and approved Corrective Action supported by evidence and proposed corrective action plans are reviewed by CU auditor and will lead to a positive certificate decision.

The original audit report for the previous delivery will not be modified and reissued. Any adjustments to the original audit scoring/Result are captured on the Corrective Actions report from CanadaGAP, that document will be sent to you once the certification decision is completed.

If during Corrective action process, a corrective action involves reducing the scope of certification or change to a less strict certification option you are allowed to do so, you will be able to continue with the corrective actions as needed, to address any other audit findings, once you receive the revise audit report. In case you decide to change to a less strict certification option, submit the Change of status form to CanadaGAP, update your CAR form including the change of certification option, any remaining corrective action request shall be closed, and a revised audit report will be send to you reflecting the new final audit score.

You are advised to 1) avoid delaying implementation of corrective actions, and 2) to contact CU in advance if necessary to determine if it is too late in the season to implement and/or confirm certain corrective actions. For certain non-conformities, a corrective action plan may be acceptable, since it may not be possible to address certain issues during the current year/season. You may be able to present a reasonable plan to implement corrective actions in the following year/season. CU will determine in each case the verification of an effective implementation of the proposed corrective actions during the next audit.

### **3.8 CERTIFICATION**

- a) The certification decision shall be AFTER corrective action requests are closed out, within a maximum of 30 business days after the audit.
- b) If the applicant is not certified because fails the audit and must submit corrective actions, the certificate decision shall be made within a maximum of 30 business days AFTER the closure of the corrective action requests.
- c) Any change to the applicant requests for example: change to crops or activities, change in certification options applicant must inform CanadaGAP and complete the Change Status Form available in CanadaGAP website. Requests for changing options are accepted at any time. If the change request is done to CU, we will guide the applicant to contact CanadaGAP to complete the Change Status form.
- d) The addition of new crops and/or activities to the certification scope requires a new audit.
- e) The change in certification options restart the audit cycle (have an on-site audit) if changing the scope of their certification and/or transferring CBs.
- f) Relative to the four-year audit cycle:
  - Certified companies switching from Option C to Option A1 or A2 must begin in Year 1 in the four-year audit cycle and have a full on-site audit in the effective year of the change, even if they keep the same certification scope (i.e., the same crops and activities certified) and the same CB. The company cannot start immediately in Year 2 of the four-year audit cycle.

- An applicant switching from option A1 to A2 can continue where they are in their four-year audit cycle, but they CANNOT use a random audit previously performed under option A1 to reset their audit cycle under their new certification option, A2. For example, a company enrolled in option A1 had a random audit in 2019 and switched to option A2 after the audit. The 2019 random audit does not count as a “Year 1” reset under option A2. Rather, the applicant would simply continue where they are in their current four-year audit cycle. Similarly, a program participant enrolled in option A1 who is selected for a random audit cannot switch to option A2 until after the random audit is completed. The program participant can then switch to option A2 and will continue where they are in their current four-year audit cycle.
- g) For Option B groups, individual members of a group are not allowed to leave the group and register with another group (for the applicable crops) if there is any pending sanction on the member issued by the group, or if there are any issues relevant to the member raised by CU that have not been closed out.
- h) For Multi-site operations, if individual sites within the multi-site operation are allowed to sell their product outside of the multi-site organization, in all cases the individual sites shall be transparent about the source and scope of certification, by providing customers with a copy of the certificate.
- i) Addition of group members in Option B, under 10%: Up to 10% of new group members in one year can be added to the approved list of registered group members without an audit required, this by enrolling the new members of the group with CanadaGAP and CU. CU will request the following information to groups: Internal inspections, non-conformity reports, contracts, approval by internal auditor, updated group member list.

The result of the certification decision will be either:

- If applicants meet the CanadaGAP program requirements, CU will grant the certificate and send it via email along with the audit report, provided no CAR is required. If a CAR is required, the CAR report and the certificate will be sent via email, with CanadaGAP copied on the email.
  
- If applicants fail to meet the CanadaGAP program requirements; CU will deny/suspend/withdrawn the certificate. Certificates under suspension are temporally invalid.

CU will notify CanadaGAP about the status of the applicant. Project information will be displayed in CU website: <https://peru.controlunion.com/en/certified-clients/>

In the case of suspensions, they will be lifted once the issue that led to the suspension has been resolved. If the reason for the suspension is not resolved within the established timeframe (3 months, but not exceeding 6 months), this will result in the withdrawal or reduction of the certification scope. CU may suspend or withdraw a certificate for contractual or administrative reasons. CU will notify CanadaGAP about the applicant's status.

## **4 LOGO**

### **4.1 CANADAGAP USE OF LOGO**

CanadaGAP trademark is valid and enforceable and is the sole and exclusive property of CanAgPlus. The use of trademark and logo will follow the Use of Logos and Certification Mark for CanadaGAP Program-CanadaGAP procedure. If using logo, contact CanadaGAP first, through: [info@canadagap.ca](mailto:info@canadagap.ca)

Any infringements and/or unauthorized use, will be communicated to CanadaGAP.

If you are going to use the CanadaGAP logos, you can request the logos from CU, indicating the reason for use. CU will keep a record of the usage of Logo of their applicants.

### **4.2 CONTROL UNION USE OF LOGO**

If you require the use of the Control Union logo, please contact us for more information on the guidelines

## **5. CANADAGAP ADDENDUM FOR POLLINATOR HEALTH**

CU can offer the CanadaGAP Addendum for pollinator Health.

The addendum is based upon the principles of Integrated Pest Management (IPM). The addendum has been designed to meet buyer (e.g., major retailer) requirements for protection and promotion of pollinator health

Payment of fees associated to the addendum are related to: Audit fees, auditor travel costs, certificate fees, etc.

The addendum can be offered only to certification options C and/or E, audits are annually in conjunction with the CanadaGAP audit an applies to the same scope of activities, crops and operation addresses that are indicated for the CanadaGAP scope. For producers in certification options A1 or A2, the addendum cannot be completed as a self-assessment. Applicants who need annual renewal of the addendum certificate validity annually are encouraged to switch to CanadaGAP certification option E or C.

## **6. ROLE OF CONSULTANTS DURING CANADAGAP AUDITS**

During CanadaGAP audits, CU is required to ensure that the roles and responsibilities of the auditee and consultants are clearly understood.

Please note the following:

- A consultant may attend the audit as an observer but cannot act as the auditee.
- A consultant cannot be considered the “person responsible” for the operation, since they are not present at the facility on a daily basis.
- Therefore, consultants must not answer the auditor’s questions on behalf of the operation or explain the food safety management system during the audit.

The auditee(s) must be the employees or personnel who are responsible on a day-to-day basis for carrying out production activities and implementing the food safety procedures within the operation.

Consultants may assist the operation by:

- Helping implement the food safety program.
- Assisting with the completion of required forms.
- Supporting the operation in preparing for the audit.

However, it is the responsibility of the operation’s personnel to:

- Maintain the food safety program on a daily basis.
- Ensure compliance with program requirements.
- Demonstrate their understanding, involvement, and responsibility during the audit.

According to the CanadaGAP Food Safety Manuals, the “person responsible” is the individual who carries out and oversees activities such as harvesting, packing, storage, cooling, labeling/coding, transportation, etc., and ensures that these activities are properly completed.

By default, the owner is considered the person responsible for the operation, although another designated employee may assume this role if they are responsible for managing the food safety program.

While tasks may be delegated within the operation, the person responsible must still oversee the activities and ensure that food safety procedures are properly implemented.

A consultant who visits the operation only occasionally cannot fulfill this role. Consultants may be present during the audit to provide support if needed, but the operation’s personnel must respond to the auditor’s questions.

## 7. CHANGE CONTROL

Version; date	Description
Version 1.0; 03/08/2023	First version of the document.
Version 1.1; 13/02/2024	3.1; 3.2; 3.3.2, 3.6.3 updated
Version 1.2 ; 19/03/2025	Item 5 added for Pollinator addendum, change in numbering of item Change control, 3.3, 3.3.4, 3.6 changes in grey, (Option B/multisites, rearranged)
Version 1.3 ; 13/03/2026	Changes in gray