Summary of Key Changes to CanadaGAP Program Management Manual (v10.0)

Section	Modification	Rationale
Section 3.3.1.2 Program Auditor Requirements	Subsection E. was revised as follows: **ii. Auditing** For auditors approved to conduct audits for GFSI-recognized certification options: To maintain category and scheme knowledge, auditors must complete at least five (5) on-site audits per year at five (5) different organizations (clients) participating in GFSI-recognized CanadaGAP certification options. ~~per year against the Food Safety Program to maintain category and scheme knowledge.~~ For auditors approved to conduct audits for non-GFSI recognized certification options: To maintain category and scheme knowledge, auditors must complete at least five (5) on-site audits per year at five (5) different organizations (clients) participating in ANY CanadaGAP certification options.	Changes to this section reflect the two different paths for qualifying auditors: 1) Requirements that apply to individuals auditing ALL CanadaGAP certification options, including the GFSI-recognized options B, C, D **OR** 2) Requirements that apply to individuals auditing only non-GFSI recognized certification options A1, A2, E and F.
Section 3.3.1.3.2 Persons involved in Shadow Audits, Witness Audits, Technical Review of Audit Reports, or Audit Scoping	Section 3.3.1.3.2 a) iv. now reads: "…not be the same person making the certification decision after reviewing an audit report, as per ISO/IEC 17065 requirements, unless the reviewer was not involved in any part of the 'Evaluation' activities such as making further adjustments to the audit report, reviewing corrective actions evidence and closing out corrective action requests, etc. See Section 3.3.1.3.2 d) below for further details."	This change provides clarity in cases where the review and certification decision are made by the same person.

Section 3.3.1.3 Program Requirements for Persons involved in Certification Decisions, Shadow Audits, Witness Audits, Technical Review of Audit Reports, or Audit Scoping	This section corresponds to requirements of ISO/IEC 17065, clause 7.4 *Evaluation*, clause 7.5 *Review*, and clause 7.6 *Certification Decisions.* (*see full tracking in this section of the Management Manual for further details*)	Text was added to provide greater clarity, since CBs were combining in various ways the "Review", "Evaluation" and "Certification Decision" functions set out in ISO/IEC 17065.
Section 3.3.5.4 Program Audit and Certification Process	3.3.5.4.1 Procedures – j) j. CBs must endeavour to meet a turnaround time of 30 business days, to make a certification decision and issue the audit report to the client. The auditor is given 10 business days between conducting the audit and providing the audit report to the certification body. A technical review of each audit report is required to be completed by a qualified technical reviewer approved by CanadaGAP prior to the audit report being transmitted to the program participant. The technical review of the audit is typically conducted within 10 business days after receiving the audit package from the auditor, and then a final ten (10) business days is usually allotted to administrative functions associated with receiving a recommendation and/or making a decision on certification and transmitting the audit results to the client.	Text was added to clarify the process with the aim of ensuring consistency across CBs. The expectation was explicitly stated that CanadaGAP audit reports MUST be technically reviewed by a qualified person prior to being transmitted to the program participant.
Section 3.3.5.4 Program Audit and Certification Process	3.3.5.4.1 Procedures – o) o. The address(es) of **all** locations that are visited during the course of the audit must be identified within the audit report, on page 2 of the CanadaGAP Audit Checklist. Optionally, addresses/locations can also be included in the Executive Summary, as determined by the CB and/or auditor. For operations with multiple fields, only the addresses of the fields where a structure of some kind is	Text was added to establish best practice for client management and scoping by the CB.

	located, or where a well is located, need to be included in the audit report. While it is not necessary to include ALL addresses associated with the operation within the audit report or on the certificate, the Certification Body should capture all addresses connected to each client within its own records, files and/or database.	
Section 3.3.5.4 Program Audit and Certification Process	3.3.5.4.1 Procedures – q) q. **Split audits.** A split audit occurs when the audit takes place over two or more on-site visits that are separated in time (e.g., a 0.5-hour visit to see harvesting on September 12 followed by a 3.5-hour on-site document review on November 14). On-site CanadaGAP audits **must not be split** into two or more separate visits except under highly unusual circumstances, and only when the Certification Body has received written authorization from CanadaGAP to split the audit. Permission must be sought in writing by the Certification Body, along with a clear description of the circumstances, and approval must be obtained from CanadaGAP in advance of the audit.	New clause was added to include a definition of "split audits" with the intent of making clear that split audits are not allowed unless the circumstances are truly exceptional and splitting the audit over two separate visits is approved in advance by CanadaGAP.
Section 3.3.5.5.7 Certificate of Conformity	o. Each certificate must be issued only to one operating/company name, with the exception of an operation/company who holds a certificate with additional "trademark or doing business as (dba)" names included on the certificate.	Clause deleted; reversal of CanadaGAP policy introduced in 2022 as it was not practical to implement.
Section 3.3.5.9 Program Participant Changes to Certification Scope	3.3.5.9 i) Changes to Certification Option New clause was added: i. If a program participant indicates that they wish to add another certification option (e.g., Option D or F) to their certificate during the opening meeting of their audit, the auditor must: a) ensure that he or she is qualified to audit the additional scope	This situation can occur during an audit. This additional clause provides guidance to the auditor and the CB on how to proceed.

	b) before proceeding, contact the Certification Body to confirm the addition of the scope. If the CB does not authorize the additional scope at that time, the auditor should not proceed with auditing the new scope. c) If the CB authorizes proceeding with auditing the additional scope, the auditor must inform the program participant that the repacking and wholesaling scopes entail extra audit time and will result in additional audit fees, as well as a higher annual program fee payable to CanadaGAP. d) The auditor must inform the program participant to send a Change of Status Form to the CanadaGAP office without delay.	

3.3.6 Suspending, withdrawing, terminating or reducing the scope of Certification	3.3.6.1 General information
	
	b) When a program participant chooses to reduce the scope of certification:
	
	   i) Situation 1: During the audit (at the opening meeting, closing meeting or anytime in between), if the auditee chooses to **remove** a crop and/or an activity from the scope of their certification, the auditor is permitted to make that change to the audit plan. The auditor should obtain the auditee's signature to indicate their acceptance of the change to the audit plan. If required by the certification body, the auditor may also report the scope reduction in the Executive Summary of the audit report.
	
	   ii) Situation 2: After the auditee has received their audit report, if the auditee chooses to address an audit finding by taking a corrective action that involves reducing the scope of certification (e.g., removing a crop and/or an activity from their certificate), the program participant is allowed to
		Clause b) added to provide clarification requested by CBs

	do so. In such cases, the certification body shall adjust the audit report to remove scoring of the elements that are no longer included within the scope of certification. Such adjustments are needed to provide an accurate reflection of the auditee's final audit score. The certification body shall send the auditee a copy of the revised audit report. From that point, the auditee will take corrective action as needed to address any other audit findings. The certification body shall retain copies of both the original audit report and the revised audit report. iii) Under any circumstances and at all times, the decision to grant certification to a client for a given scope rests with the certification body.	
Section 3.3.11 Data Management System	These data include but are not limited to: • Scope of activity (production, packing, storage, repacking, wholesaling, brokerage) • Type of audit (e.g., unannounced, triggered, random)	Info added to bullet list to correct previous oversight and to provide additional examples.
Appendix III.2 Guidance for Certification Bodies Scoping for Multi-commodity and Multi-activity Operations	Sentence added at the end of clause 4: Fresh market potatoes may also be considered similarly, depending on the certification option and based on a risk assessment (e.g., mechanical vs hand harvesting, etc.).	Responds to CB request for clarification of the guidance (recorded on Form 1.1 2022-10)
Section 4.2 Auditor Training Program	Roles and Responsibilities: Auditors, auditor trainers, and other ~~certification~~ personnel who are engaged by licensed certification bodies are responsible for meeting the training requirements and participating in evaluation and on-going training sessions.	The word "certification" was too limiting so has been deleted.

Section 4.3.2.2 Train-the-Auditor Trainer Program	Re-testing of qualified trainers by CanadaGAP will be required every five years to ensure that trainers are maintaining current knowledge of Program requirements. The passing grade is 85%, or as determined by CanadaGAP staff depending on the nature of the testing.	Wording added to provide more flexibility if an exam format is not used.
Section 4.3.3 Auditor Registration System	Revisions to clause d): **d. CanadaGAP Auditor Refresher testing:** Trainees who successfully completed Auditor Training must maintain their knowledge of the CanadaGAP program by completing CanadaGAP auditor refresher testing at a frequency prescribed by CanadaGAP, typically every two years. This requirement applies equally to successful trainees who are not yet working as CanadaGAP auditors and who wish to remain current and eligible for admittance to the CanadaGAP auditor pool, as well as for group internal auditors conducting on-site audits for CanadaGAP group certification (see Appendix III.1). At the time that CanadaGAP announces an upcoming round of auditor refresher testing, trainees who successfully completed the CanadaGAP Auditor Training course less than a year before ~~ago~~ and *who are not yet working as CanadaGAP auditors and/or are not yet working as group internal auditors conducting audits for CanadaGAP group certification* will be exempt from the refresher exam. The window of "less than one year" will be calculated based on the date that the candidate **attended** the training, not the date that they passed the exam. Trainees must successfully complete the next round of refresher testing ~~(two years hence)~~ to remain eligible for admittance to the CanadaGAP auditor pool. Candidates who let their training status lapse (i.e., did not complete the training course in the prior year OR did not successfully complete the most recent refresher assessment) ~~In other words, trainees who have not attended training or successfully completed the~~	Changes to this clause provide more flexibility than testing every two years, in the event that assessments are postponed for legitimate reasons.

	~~CanadaGAP refresher exam within the last three years~~ must repeat the full Auditor Training course before being eligible to become a CanadaGAP auditor.	
4.3.3.1 Auditor Training Program	Removed some items from the list of elements captured in Form 4.1: • ~~Evaluation Received~~ • ~~COI on File~~ • ~~Level 1(Active) or 2 (Inactive) Auditor~~ • ~~Current Affiliated CB(s)~~ • ~~Start date with current CB(s)~~ • ~~Records of attendance at compulsory refresher training, if any, offered directly by CanadaGAP~~ • ~~Results of testing, if any, in connection with compulsory refresher training offered directly by CanadaGAP~~ • ~~Validity period (e.g., expiry date) of Program auditor registration/approval, if applicable~~ • ~~Confirmation of auditor qualifications and experience based on CanadaGAP review of documentation (e.g., curriculum vitae, education transcripts, training certificates, etc.) that the certification body is required to supply to CanadaGAP when bringing a new Program auditor on board.~~ • Results of the CanadaGAP Competency Exam (if applicable) • ~~Details of witness audits by CanadaGAP~~	Information about course evaluations is being captured in the course-specific tracking sheets. Remaining elements will no longer be tracked in Form 4.1 but rather in a new auditor database to be deployed later in 2023. See new section 4.3.3.3 below. Until the database is operational these data elements will continue to be captured in Form 4.1.
4.3.3.1 Auditor Database – new section	4.3.3.3 Auditor Database Details of auditor training candidates who qualify to be considered as CanadaGAP auditors will be maintained in an Auditor database in Microsoft Access to be deployed later in 2023. The Auditor database will capture information such as the following: • COI on File • Level 1(Active) or 2 (Inactive) Auditor	New tool is currently under development and will capture the listed information once it is deployed later in 2023.

	- Current Affiliated CB(s) - Start date with current CB(s) - Records of attendance at compulsory refresher training, if any, offered directly by CanadaGAP - Results of testing, if any, in connection with compulsory refresher training offered directly by CanadaGAP - Validity period (e.g., expiry date) of Program auditor registration/approval, if applicable - Confirmation of auditor qualifications and experience based on CanadaGAP review of documentation (e.g., curriculum vitae, education transcripts, training certificates, etc.) that the certification body is required to supply to CanadaGAP when bringing a new Program auditor on board - Details of witness audits by CanadaGAP.	