

CanadaGAP Auditor Training Note

TO: CanadaGAP Auditors, Certification Bodies and Program Participants

DATE: November 1, 2018

SUBJECT: Audit Checklist – Executive Summary

The Executive Summary that accompanies the CanadaGAP audit checklist contains a brief outline of the operation and its activities along with some of the audit findings. This is the only document that is to be left after an audit (the auditee will not receive the final report for up to six weeks, once it has been technically reviewed by the certification body); therefore, it becomes an important document for the audit process.

The Executive Summary is important for the following reasons:

1. Proof that the auditor attended the audit
2. Proof that the auditee attended the audit
3. Proof that the auditee has been communicated the findings of the audit
4. For liability purposes should the audit findings come into question (e.g., the auditee can't claim that they didn't know about the findings)
5. Allows the auditee to get started on their corrective actions (e.g., reminds them of what they did not complete, points lost, etc.) before they receive the final report
6. A good summary of the operation's details that may not be reflected in the body of the audit, which provides a useful overview for the technical reviewer, CanadaGAP, another auditor or other interested party (e.g., customer)

Completing the Executive Summary

At the end of the audit, the auditor should fully complete the Executive Summary by taking approximately 10 minutes. To fast-track filling it out, auditors could cut and paste findings as they complete each question or section of the audit checklist. A reminder that not all of the audit findings need to be captured within the Executive Summary's "Other Findings" section; that is true especially when the findings are numerous. The auditee is still expected to review the entire audit report once received.

Once complete, the Executive Summary should be verbally reviewed with the auditee and any questions addressed.

The auditor can then make a copy of the Executive Summary by:

- printing (either with their own printer or using a USB to save and print on the auditee's printer)
- hand writing a copy
- using carbon copy
- using another equally effective method.

2.

The auditor should make every effort to provide a copy of the Executive Summary to the auditee, and only if this is not possible should communication happen at a later time by providing a copy via email or fax. ***BOTH parties should then sign the Executive Summary and a copy should be left with the auditee.*** The importance of doing so is explained above. The certification body also needs a signed copy that is issued along with the full audit report.

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