



# Guidance on completing the Action Summary Form (ASF) - Processors

Thank you for your time at inspection. Please find attached your action summary form (ASF). This details any issues identified at your inspection that require attention to ensure compliance with Soil Association & EU organic standards.

Your inspector should have discussed their findings with you; what they noted as compliant, and the reasons for any non-compliances issued. Please complete and return this form by the deadline specified on the ASF. Examples of acceptable actions are listed on page 2.

## What you need to do

- Read through your ASF carefully, checking whether you need to send in any additional documentation
- Provide sufficient corrective actions against any non-compliance listed – see 'addressing corrective actions' for guidance
- Return the completed ASF, together with any requested documentation, by the specified date on the ASF – this is fine to be completed and returned electronically

## ASF terms explained

### Application requirement

Requirement or standard that must be met before the licence can be issued

### Minor non-compliance

Does not directly compromise the integrity of the product but needs correcting

### Major non-compliance

May compromise the integrity of the product, if not corrected, or may result from not correcting a previous minor non-compliance

### Critical non-compliance

The integrity of the operation, product/batch or lot has been directly compromised or lost, or repeated failure to correct a previous major non-compliance

### Request for information

Information required to be returned with the ASF

### Comment

General information regarding the standards for your reference

## Addressing corrective actions

In order for corrective actions to be signed off, they must demonstrate that the non-compliance has been immediately resolved, where possible, and sufficient action taken to prevent it from happening in the future. Evidence is required to be sent in to illustrate this i.e. updated procedures or records, photographic evidence etc.

When considering what your corrective action is, refer to the standard quoted in the non-compliance and contact us if you have any queries about what the requirement of the standard is. We also have guidance documents and record keeping templates available that might help - please visit our [Certification Resources](#) hub on the website.

The following should be demonstrated when providing a corrective action:

- **Root Cause Analysis**
- **Immediate (Corrective) Actions - if applicable**
- **Long Term (Preventative) Actions**

## Timescale

Your Action summary form, corrective actions and evidence must be submitted within the timescale specified on the form. This will either be 30 or 14 days from the inspection date, depending on the issues raised at inspection.

It is important that you return the completed form and required information by the date stated. If you miss this date, you risk temporary suspension of your licence, which would mean you could not sell your products as organic during this time.

## Acceptable corrective action - example

Below is an example of corrective actions that would be acceptable to sign the non-compliance off:

Outcome	Description of Outcome	Your response/action to correct non-compliance and avoid this happening in the future	Timescale
Major non-compliance	A system is not in place to validate the organic status of your suppliers, and products that you purchase, as up-to-date organic certificates were not on file for two of your suppliers (these had expired)  (Standard 5.7.2)	<p>After reviewing our procedures, we identified that whilst we noted the expiry dates of supplier's certificates, we did not have a robust system in place to request a new one once the expiry date passed, or to prevent further orders being placed until a valid certificate was provided.</p> <p>We have requested the updated certificates and now have these on file.</p> <p>We have implemented a system to monitor expiry dates and request updated certificates using calendar notifications. The purchasing team have updated their procedure to require that they check the supplier's certificate is in date before placing an order, All relevant staff have been re trained against the updated procedures.</p>	05/03/2019
<p>Evidence Submitted:</p> <ul style="list-style-type: none"> <li>• In date copy of supplier certificates found missing at inspection</li> <li>• Updated purchasing procedure to monitor certificate expiry dates and the check of supplier certificates prior to ordering</li> <li>• Staff training records against procedure</li> </ul>			

## Unacceptable corrective action - example

Below is an example of corrective actions that would not be acceptable to sign the non-compliance off:

Outcome	Description of outcome	Your response/action to correct non-compliance and avoid this happening in the future	Timescale
Major non-compliance	A system is not in place to validate the organic status of your suppliers, and products that you purchase, as up-to-date organic certificates were not on file for two of your suppliers (these had expired)  (Standard 5.7.2)	Supplier certificates now on file	05/03/2019



As per the 'addressing corrective actions' guidance on p.1, this response provides an **Immediate Corrective Action** only and does not prevent the same issue happening again.

The response does not address what led to this non-compliance occurring (**Root Cause**) so there is no way to know if the corrective action resolves this.

It also fails to show how the non-compliance will be prevented from happening again in the future (**Long Term Preventative Action**), so does not demonstrate continued compliance to the standards.

## How to return

Please return your completed ASF and corrective action evidence to cert@soilassociation.org or directly to your Certification Officer. Alternatively, this can be posted to:

Soil Association Certification Limited, Spear House, 51 Victoria Street, Bristol BS1 6AD