



# Traceability and Record-Keeping

## Checklist

Control Point	Description	Tick Appropriate Box	Option
<b>1 GAP – Traceability and Record Keeping</b>			
1.1 There are no outstanding <b>non-compliances</b> from the last annual inspection or any subsequent inspections	<b>Best Practise: where there are repeat non-compliances, the contractor maintains a record of these and how improvements are made is detailed.</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY
1.2 A CAV is provided to all growers whose orchard/s are worked on and any contractors if applicable	Provide your CAV to all MSOs (growers) who you provide work to. This must be done BEFORE any work is undertaken on the orchard. Ensure that your CAV is valid for the time that you will be working. CAVs are valid for one year. An inspection needs to be booked in well before the expiry date to ensure compliance is maintained.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY
1.3 When sub-contractors are used CAVs are obtained from them before engaging their services	<b>If the contractor has used any sub-contractors then the CAV of the sub-contractor/s must be held.</b> <b>Sub-contractors cannot be used until the contractor holds a full 12 month CAV. Record the CAV details of sub-contractors used, must cover food safety.</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY
1.4 There is a complaint / suggestion procedure available, through which employees can make a complaint <b>or suggestion</b>	There must be a procedure tailored to the contractor business (not a Zespri document) that details how complaints and suggestions are captured, recorded, investigated and followed up on, and the procedure must be communicated to all staff (e.g. as part of their induction process).	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY
1.5 Employees have been informed about the complaint procedure	Employees are informed of the process for making a complaint or suggestion. This could be included in the induction training for employees, or it could be included as an appendix to their contract.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY
1.6 The complaint/suggestion procedure specifies a time frame to resolve complaints	The documented procedure specifies a resolution timeframe.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY
1.7 The complaint/suggestion procedure states that employees will not be penalised for filing complaints or suggestions	The documented procedure specifies an employee will not be penalised for making a complaint or a suggestion.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY
1.8 Complaints and suggestions are discussed in meetings between the employees and management	Hold regular (at least annual) meetings with workers to discuss any relevant health and safety issues. Record when the meeting took place, and anything raised in the meeting, any action taken in response to any communication on this issue.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY
1.9 All complaints and suggestions are followed up on, recorded <b>and must be considered/implemented as continuous improvements</b>	The documented procedure details that any complaint or suggestion is recorded covering the issue, follow up, resolution with the employee and agreed. <b>NOTE: As part of the regular meeting, the contractor must record that this is a standard agenda item and any actions are recorded. These will include employee suggestions that have resulted in improvements to the contractor systems.</b>	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY



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1.10 All records, including those relating to food safety, required during the inspection are accessible	<p>The contractor must develop policies and processes to meet the Contractor GAP/GRASP requirements. The policies, procedures and risk assessments must be documented, implemented and records must be maintained.</p> <p>Electronic records are valid and, when they are used, the contractor is responsible for maintaining backup of the information.</p> <p>This may be undertaken with the assistance of an external consultant.</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	MANDATORY
1.11 The contractor follows the NZ law requirements to keep records for 7 years Documents are stored securely and effectively controlled	<p>Retain records for 7 years.</p> <p>Inspection checks are made as to where the documents are stored to confirm they are secure and are effectively controlled.</p>	<input type="checkbox"/> YES <input type="checkbox"/> NO	MANDATORY