



Traceability and Record-Keeping

Checklist

Control Point	Description	Tick Appropriate Box	Option
1 GAP – Traceability and Record Keeping			
1.1 There are no outstanding non-conformances from the last annual inspection or any subsequent inspections	Must have the records of the outcome from their last inspection along with any corrective actions issued and the follow up of these. "Must have a copy of any follow up report and close out of corrective actions. N/A if a new contractor	<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	The CAV must be provided to all growers that they work for. This must be done BEFORE any work is undertaken on the orchard. CAVs are valid for one year. Check that the current CAV was valid at the time work was undertaken.	<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	If the contractor has used any sub-contractors then the CAV of the sub-contractor/s must be held. Record the CAV details of sub contractors used.	<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	There must be a procedure that details how complaints and suggestions are captured, recorded, investigated and followed up on, and the procedure must be communicated to all staff (i.e. as part of their induction process). Can only be N/A if there are no employees.	<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. Can only be N/A if there are no employees.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	BEST PRACTICE
1.6 The complaint/suggestion procedure specifies a time frame to resolve complaints	The written procedure must include a timeframe that states when complaints must be resolved by. This can only be N/A if there are no employees.	<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	There must be wording in the written complaints / suggestion procedure that states an employee will not be penalised for making a complaint or a suggestion. This can only be N/A if there are no employees.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	BEST PRACTICE
1.8 Complaints and suggestions are discussed in meetings between the employees and management	There must be evidence of meetings (i.e. some minutes) that demonstrate complaints / suggestions were discussed. This must be at least at the annual induction. This can only be N/A if there are no employees.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	BEST PRACTICE
1.9 All complaints and suggestions are followed up on and recorded	The record of complaints and suggestions must detail what was done to investigate and follow upon on them (i.e. what action was taken). An outcome must be recorded. It is suggested that as part of a daily meeting sheet that this is a standard agenda item and any actions recorded. This can only be N/A if there are no complaints / suggestions made.	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> N/A	MANDATORY



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1.10 All records required during the inspection are accessible	All the records required to demonstrate compliance to the control points included in this inspection must be available. If records are missing and non-compliance raised, refer to the control points. Do not raise a duplicate NCR here. Must have their own system and procedures from 2020, cannot continue to use the 2017 Zespri documents.	<input type="checkbox"/> YES <input type="checkbox"/> NO	MANDATORY
1.11 The contractor follows the NZ law requirements to keep records for 7 years	Records must be available for 7 years so need to check that there is a process for keeping records for this length of time.	<input type="checkbox"/> YES <input type="checkbox"/> NO	MANDATORY