

CONTRACTOR GAP AND GRASP INSPECTOR/AUDITOR GUIDELINES



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INTRODUCTION

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| Entry Discussion | | |
| A.1 | Discuss matters relating to confidentiality and information security. When the company is sold or a change of director(s), it is important to communicate to the new owner, that the CAV is non-transferable. | <p>The purpose of the discussion is to confirm that the contractor understands and can demonstrate to the inspector/auditor their obligations as a registered Zespri contractor. Ask questions, such as, where they have acknowledged Zespri Global Privacy Statement, Contractor Terms and Contractor Obligations. Record what has been presented and discussed.</p> <p>Confirm the inspection/assessment confidentiality under the Privacy Act 2020 stating that no documents / photos will be kept after the inspection/assessment without the approval of the contractor. What is discussed and reviewed will not be shared with any other parties.</p> |
| A.2 | Introduce other participants, including observers and evaluators, interpreters and an outline of their roles. | <p>Discuss inspection/assessment methods to manage risks to the contractor/employees which may result from the presence of inspection/audit team members, for example on orchard.</p> <p>No detail is required if the inspection/assessment is undertaken with a sole inspector/auditor.</p> |
| A.3 | Communicate the type of inspection/ assessment (initial 3-tier, annual, follow up) that is being conducted and explain the scope (GAP & GRASP, Harvest, Vine Maintenance, Spray, Fertiliser or Other) of the inspection/ assessment . Explain the process and duration of the inspection/ assessment . | <p>The degree of detail should be consistent with the familiarity of the contractor with the inspection/assessment process. A new contractor registration inspection/assessment would require more detail of the 3-Tier process than an annual inspection/audit of a contractor who has been registered for a number of years.</p> <p>However, any changes to the inspection/assessment process or guidelines must be communicated. Record what is discussed. The 3-Tier Process can be found in the ""Regulations"" Tab in KIT.</p> |

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| A.4 | Discuss method of reporting any findings including criteria for grading (mandatory being non-compliant; best practice (BP) being observation; number of BPs being a non-compliance) | <p>Explained inspection/assessment process, “the inspector/auditor is looking for compliance not non-compliance”, any question you do not understand let the inspector/auditor know and they will rephrase it. If no for Mandatory Principle a NC is raised.</p> <p>Collecting and Verifying Information</p> <p>The inspectors/auditors are to consider whether the information provides sufficient objective evidence to demonstrate that GAP/GRASP requirements are being met as follows:</p> <ul style="list-style-type: none"> • complete • correct and reliable • consistent • current and up to date <p>An overview of a typical process: Source of information; collecting by means of appropriate sampling; inspection/assessment evidence; evaluating against inspection/assessment criteria (GAP/GRASP); inspection/assessment findings; reviewing; inspection/assessment conclusion</p> <p>Inspection/Assessment Sampling: Objective of inspection/assessment sampling is to provide information for the inspector/auditor to have confidence that the inspection/assessment objectives can or will be achieved.</p> <p>Generating inspection/assessment findings: Inspection/Assessment evidence is to be evaluated against the inspection/assessment principles and criteria in order to determine inspection/assessment findings. Inspection/Assessment evidence must indicate compliance or non-compliance with the principles. Inspection/Assessment evidence is to include conformity as well as and good practices along with supporting evidence, and any observations to the MSO/Contractor.</p> <p>Non-compliances, Corrective Actions and Sanctions: Non-compliances and their supporting inspection/assessment evidence is to be recorded in the KIT report at the time of the inspection/assessment which provides a corrective action summary report (or similar).</p> <p>The due date for completion of corrective actions required is to be agreed by both the inspector/auditor and the contractor with a maximum of 28 days for the close out of the non-compliances.</p> <p>Corrective Action Summary Report: A summary report is to be left with the contractor on completion of the GAP inspection/audit (or sent to the MSO/Contractor within three calendar days of the completion of the inspection/audit) detailing each non-compliance and observation of the principles not currently met and what corrective action(s) are required to be taken to become compliant including a due date.</p> <p>Non-compliance, Corrective Action Closure: Detail what evidence was sighted to close the MSO/Contractor’s corrective action</p> |

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| | | <p>request. Record the suitability of the evidence and record the date closed.</p> <p>It is the responsibility of the inspector/auditor to ensure corrective actions are addressed by the due date and records are verified and retained.</p> <p>If any of non-compliances are not resolved in the timeframe(s) issued by the inspector/auditor, first issue an overdue notice to the MSO/Contractor (see Regulations Tab for template). If there is no response, the Inspector/Auditor will contact Industry Compliance with the details.</p> |
| A.5 | Outline the sanction process | Any sanction action against a Contractor is handled directly by Zespri. Zespri will notify the Inspector/ Auditor Organisation of any sanction action/s and include, if applicable, the steps and outcome. |

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| Responsibilities | | |
| 0.1 | Your registered information with Zespri is up-to-date | <p>CRITERIA:</p> <ul style="list-style-type: none"> The Contractor is able to demonstrate login to industry.zespri.com The portal information is correct and up-to-date <p>Note: if there are difficulties with access while demonstrating login at an inspection/assessment, the inspector/auditor is to email compliance.mail@zespri.com with the issues and record the finding in the report evidence</p> <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Ask the Contractor to demonstrate login to industry.zespri.com Check the portal information is correct and up-to-date <p>Note: if there are difficulties with access while demonstrating login at an inspection/audit, the inspector/auditor is to email compliance.mail@zespri.com with the issues and record the finding in the report evidence</p> |
| 0.2 | The annual inspection/ assessment is completed prior to the CAV/Interim CAV expiry. | <p>CRITERIA:</p> <ul style="list-style-type: none"> A CAV expiry reminder email is automatically sent to contractors on the first on the month 8 weeks prior to expiry Contractor is to book the inspection/assessment well before your CAV expires Contractor cannot complete any work on a kiwifruit orchard unless with a valid CAV, with a current date <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Provide a clear statement stating if the inspection/assessment was early or late and the reasons why |
| 0.3 | The 'Am I Ready' checklists for each units has been completed and available for review | <p>CRITERIA:</p> <ul style="list-style-type: none"> Complete an Am I Ready Checklist prior to inspection/assessment to ensure you have all the documents and records ready for your annual inspection <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Sight the completed Am I Ready Checklist, check it is completed and ask the Contractor to use it during the inspection/assessment |
| 0.4 | Has your business or any representative responsible for management or operational functions of this business been subject to any investigation or regulatory enquiry that relates to the compliance and conduct expectations of the Zespri GLOBAL.G.A.P Contractor program | <p>CRITERIA:</p> <ul style="list-style-type: none"> The contractor must declare when the business, or anyone involved in the operational management, staff support/services or supervision of staff, is under investigation by a government authority <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Record the declaration of the Contractor |

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| 0.5 | What is the size of your business, how many employees have you at the time of the inspection/assessment, in peak season, and who you work for are explained. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Record the organisational structure <ul style="list-style-type: none"> Shareholders: Directors: PCBU: Day to day operations manager: Office Administration/ payroll: RGSP responsible for Health and Safety/ GRASP: # Employees (peak season or harvest period when the highest number of workers is present during activities registered): # Employees at the time of the inspection/assessment Growers working for: Provide the details of all contractors engaged in the preceding 12 months: For new businesses; do you have work opportunities, if so who <ul style="list-style-type: none"> How do you intend to recruit workers Where does the business operation intend to work? <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the organisational structure is detailed as per the criteria |
| 0.6 | The higher level of protection to workers is applied, taking into consideration any differences between national, local legislation and GRASP. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The term “higher level of protection” refers to the regulation which provides better protection or benefits to the worker; NZ Legislation v GRASP Contractors must meet all GRASP requirements at the inspection/assessment before a CAV is issued There must be no infringements of employee rights <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> The outcome of the inspection/assessment will not be met until the non-compliance(s) have been addressed and closed Check if the NC(s) are documentary evidence of possible worker protection infringements If the NCs are possible worker protection infringements, send the report (KIT full report or summary report) to pre-harvest.mailbox@zespri.com and cc compliance.mail@zespri.com |
| 0.7 | Privacy Act 2020 requirements for all records are implemented. | <p>CRITERIA:</p> <ul style="list-style-type: none"> All Employers must develop a Privacy Policy and make this available to all employees. It is recommended that additional communications (e.g. posters) are used to raise awareness of the policy The inspector/auditor must ensure that a Privacy Policy is in place before conducting the inspection/assessment All data containing personal information or unique identifiers must be stored in accordance with the Privacy Act Principle 5, |

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| | | <p>(refer to Glossary and https://www.employment.govt.nz/about/privacy/)</p> <ul style="list-style-type: none"> • A Person may not be identifiable to others • It is also recommended that businesses complete a privacy impact assessment available on the Privacy Commissioner website https://privacy.org.nz/responsibilities/privacy-impact-assessments/ <p>INSPECTOR/<u>AUDITOR</u> GUIDELINES:</p> <ul style="list-style-type: none"> • The inspector/<u>auditor</u> must ensure that a Privacy Policy is in place before conducting the inspection/<u>assessment</u> |

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| 1.3 Outsourced Activities | | |
| 1.3.1 | CAVs are provided to all growers whose orchards they work on including subcontractors used. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Copies of all contractor CAVs are provided prior to starting work Contractors who use subcontractors must obtain CAVs and provide to the growers Orchard Services Agreements with all growers are held <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> CAVs must be provided to all growers that they work for When the contractor uses sub-contractors, CAVs are held and provided to growers they work for Make sure that this is carried out before they undertake any work on the orchard Sub-contractors cannot be used until the contractor hold a full 12month CAV There must be orchard services agreements with all growers they work for |
| 1.4 Complaints & Records | | |
| 1.4.1 | There is a complaint process relating to both internal and external issues that ensures complaints are managed appropriately. | <p>CRITERIA:</p> <ul style="list-style-type: none"> A documented process is held to communicate GAP internal and external issues All issues are recorded A record of the investigation and follow up of issues is kept Local authority investigations are reported <p><i>Note: where GRASP is part of your inspection/audit scope use Section 3 Complaints Process</i></p> <p>INSPECTOR/AUDITOR GUIDELINES:</p> <p>Contractor with no employees, check and provide evidence here;</p> <ul style="list-style-type: none"> There is a documented complaints process There are records of all issues Records demonstrate complaints have been resolved, in the stated timeframe (or not with justification) <p>Contractor inspection/audit with GRASP check compliance through</p> <ul style="list-style-type: none"> Section 3 Complaints Process Record a brief summary of the outcome and reference to GRASP section 3 here |

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| 1.4.2 | A procedure is in place to manage and control documents and records. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • A procedure is in place to manage documentation, ensuring the most updated version of documents are accessible to employees i.e. the policies, procedures and records maintained for GAP inspection/audit • This can be done by tracking the documents through version control by setting <ul style="list-style-type: none"> – a version number or – a version date or other forms of tracking <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check there is a process for document control • Discuss this process with the contractor or review the documented process • Check there are no obsolete documents in use • Provide examples of documents reviewed • Is there a table of updates |
| 1.4.4 | All records are up-to-date and kept for a minimum of 7 years. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Records for inspection purposes are up to date • Keep all records for at least 7 years and ensure they are readily accessible at annual inspections/audits • If records are held offsite, they shall be retrievable for the inspection/audit <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Throughout the inspection/audit you must have been checking a selection of records so you will know if there is a systemic issue with record keeping (i.e. there are records consistently missing) • If only a couple of records are missing then the applicable principle is marked non-compliant not this one • Check records are kept for 7 years and available at the time of the inspection/audit, record examples • Check where documents are stored securely • Check for electronic back-ups of information |

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| 1.5 Roles, Training and Responsibilities | | |
| 1.5.1 | The roles and responsibilities of workers who have an impact on the implementation of the GAP requirements are defined. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • People with key roles related to the requirements of the standard are identified as a minimum the person responsible for food safety and health and safety for the orchard(s) • The job title, function, position in organisation and responsibilities are listed • There is a Workers Representation, or Management GRASP Liaison Job Description (if applicable) • Alternates are listed, where applicable, in case of absences <p>INSPECTOR/AUDITOR GUIDELINES:</p> <p>Assess the complexity of the operation;</p> <ul style="list-style-type: none"> • If it is a simple operation it is sufficient to have this person listed on the Food Safety and Health & Safety Policies • If the operation has many employees with different roles that impact food safety then check that these are listed • These could be listed in the Food Safety Risk Assessment, an organisational chart, Induction & Training Records, Job Descriptions outlining the roles and responsibilities for the organisation <ul style="list-style-type: none"> - Roles, Training and Competencies Record Form • Check alternates are listed in case of absences |
| 1.5.2 | Individuals responsible for technical decision making on inputs can demonstrate competency. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • It is demonstrated through experience, training, resource documentation, that the person(s) making the decisions on input (e.g. spray, fertiliser) applications is competent to do so • This person is following industry & legal requirements in regard to the use of products <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Identify employees who are accountable for key technical decisions that impact Zespri GAP • Check key competencies are identified for each activity decision makers carry out to ensure training requirements are met <ul style="list-style-type: none"> - Roles, Training and Competencies Record Form • Record Growsafe and RCA certificate numbers and expiry dates for each certificate holder (refer to RCA Decision Flowchart). • For 'Herbicide Only' contractors, record the area size and/ or number of KPIN's where herbicide is applied, and RCA certificate details if required (refer to RCA Decision Flowchart). |

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| 1.5.3 | Workers have the skills, training and competencies required for their tasks. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Training is provided for tasks that require specific skills • Evidence of training and qualifications are held • Everyone on the orchard has received food safety training <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Assess that tasks requiring specific skills, i.e. handling or applying agrichemicals or any hazardous substance, operating machinery or complex equipment and food safety training • Ensure that training is completed annually and prior to carrying out tasks • Induction and Training Records • Group Training Records |
| 1.5.4 | Workers have been trained on site health and safety requirements. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Record of training are signed by each worker • Health and Safety training is provided annually to all workers, management and owners • Training meets what has been identified in the Risk Assessment and all required instructions • Training shall be given to new workers, including any that have had new tasks assigned <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check that training has been undertaken for all workers annually and aligns with the risk assessment • Contractors and sub-contractors workers are required to complete site specific training records • Sight training records that have been signed and dated annually • Training shall include the emergency procedures for the orchard • MSO / Contractor shall also show that they have been trained and competent to train by reading the training material and signing the training records • Ensure training is given to new workers including any that have new assigned tasks • Induction and Training Records • Group Training Records |

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| 1.5.5 | Trained first aid person on site whilst orchard activities taking place. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • A trained first aid person is always on-site during orchard activities • First aid training dated within the expiry on the certificate • One trained first aider per 50 people <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Confirm that the person holding the first aid certificate is always on orchard whenever on orchard activities are being carried out and anytime employees are working • NZ first aid certificates are dated for 2 years • There must be one trained first aider per 50 people • Contractors are responsible for their workers and must have trained first aid person on-site • Check validity of first aid training certificates • A sole trader must hold a valid first aid certificate, record the sole trader's training |

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| 1.5.6 | Records of all training activities are kept. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Keep records of all training including the date and duration • Topics covered • Trainer or training provider • Names of attendees and evidence of attendance (e.g. signature) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check there are training records for all staff • Check they include minimum topics covered in • Induction & Training Record Form • If a tailored record must include • health and safety, emergency procedures, accident & incident, biosecurity plan • food safety • GRASP • Payroll information • Task specific training • What the training covered, the trainer or training provider, date and duration of training, and a signature of the trainee • Any training undertaken must be recorded • Annual training, i.e. food safety and health & safety training • Group Training Records |
| 1.6 Continuous Improvement | | |
| 1.6.1 | Corrective actions from previous inspection/ audit (s) are documented and implemented. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • A copy of the Inspection Summary Report and Full Report from the previous year(s) inspection/audit is kept • Ensure corrective action requests have been completed in the agreed timeframe and are closed in the above reports <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Request to see the previous full inspection/audit report and / or the inspection summary report (these may be sent to you prior to the inspection/audit for review) • Check that any corrective actions from the last inspection/audit are closed, record details, number (including observations) and dates |

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| 1.6.2 | A continuous improvement plan is in place. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • A Continuous Improvement Plan is documented and maintained • Objectives are described with a status, planned activity, target outcome and an estimated date of achievement • There is evidence to support the implementation of objectives • This is a living document to be used over three years • Objectives and targets can originate in different places, e.g. • Risk assessments, action plans, corrective actions required from the last inspection/audit <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check that a continuous improvement plan (CI plan) has been started • Check there is at least one objective and target which can originate from risk assessments, improvements from corrective actions of GAP inspection/audits(s), start to use visa view • The CI Plan is a living document and must be used/maintained over three years • Continuous Improvement Plan Form (word / excel) |
| 2.2 Biosecurity | | |
| 2.2.1 | A Kiwifruit Orchard Contractor Biosecurity Plan has been completed and implemented. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • A documented biosecurity plan shall be available, implemented and annually reviewed • The plan shall include: <ul style="list-style-type: none"> – Actions and considerations to reduce the risk of unwanted pests and diseases on orchard and the surrounding environment – Actions taken to protect the orchard and the environment • Reviewed annually <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • There is a high biosecurity risk associated with kiwifruit orchard contractors, who routinely move machinery, equipment, tools, people, kiwifruit plant material and/or compost into, within and between orchards. • Contractors must complete a biosecurity plan and keep it on file with their records for the annual inspection/audit, the plan shall be reviewed annually • Contractors need to identify which risks are relevant to them in their business and are required to put systems in place to manage them • Anything brought onto an orchard needs to be clean and free of plant material and soil • Check the contractors biosecurity plan is completed, has been reviewed in the last 12 months and is relevant to the activities they undertake on orchard. |

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| 3.3 Fertiliser Application Records | | |
| 3.3.1 | There are up to date records of all fertiliser applications. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Fertiliser applications must be recorded in the Zespri fertiliser diary system or own fertiliser record template (for both organic and inorganic) Included must be a reference to KPIN (Kiwifruit Property Identification Number) and other location information such as maturity area or blocks Include date of application Include name and type of fertiliser Include amount (rate or concentration as applicable) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check organic and inorganic fertiliser application records to ensure that all the required details are recorded All applications need to be entered into the Zespri Fertiliser Diary Check the use of the Fertiliser Application Record Form provided by Zespri If not used check that the records are legible and that all of the details on the Zespri form are included These records must be available for provision to Zespri when requested for inspection/audit purposes <ul style="list-style-type: none"> Fertiliser Application Record Form |
| 3.3.2 | Fertiliser application record include the name of applicator. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Name of individual applicator(s) must be recorded Name of CAV Contractor (with PMO #) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check that the applicator name and of the person driving the truck or spreading the fertiliser is recorded alongside each fertiliser entry If the applicator is a contractor check the name of the contractor, CAV number and expiry is recorded Fertiliser Application Record Form |

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| 3.4 Fertiliser Storage | | |
| 3.4.1 | A fertiliser stock inventory system is in place. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Stock update can be based on a record from fertiliser contractor based on fertiliser applied on orchard • Ensure the fertiliser inventory record is updated within a month of stock movement (i.e. purchase or use) by the grower or contractor if instructed • Products that pose a risk to food safety and limited shelf life are used in the correct order <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check inventory records to ensure it is up to date within a month of stock movement and this is accurate what is in the store • Select a couple of products and check against the inventory record • If it is the growers store, he is responsible for keeping the inventory up to date, and can instruct the contractor to maintain it • If it is the contractors' store then all criteria applies to them • When fertiliser(s) are "buy and apply", evidence is required to demonstrate this (e.g., invoice / delivery note / application dates). Record dates <ul style="list-style-type: none"> – Inventory Record Form – Worksafe Inventory Requirements |
| 3.4.2 | Fertilisers and Bio stimulants are stored in an appropriate manner. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Fertilisers and bio stimulants are stored: <ul style="list-style-type: none"> – Separately from agrichemicals and any fruit – So that cross contamination is prevented – At least 25M from water sources – Measures to prevent water sources from pollution – Clearly identified on a property / orchard map <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Visually check to ensure that fertilisers are not stored with agrichemicals or fruit • If kept in the same store, there must be a physical barrier (i.e. wall, sheeting) • Away from water sources • Identified on a property / orchard map • Check appropriate signage is used at the store <ul style="list-style-type: none"> – Property Map / Orchard Map |

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| 4.4 Waste & Pollution | | |
| 4.4.4 | Litter fragments and small pieces of packaging material and other waste are removed from the orchard. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Litter and waste are either placed in rubbish bins provided or removed from the orchard after the orchard activities are complete <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check that facilities are in place for workers to dispose of rubbish, or they are instructed to take all rubbish with them There is evidence that orchard waste is separated for disposal |
| 4.4.6 | Water used for washing and cleaning purposes on orchard is disposed of in a responsible way. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Wash water disposal from cleaning down contaminated equipment or machinery (e.g., spray equipment, fertiliser equipment, tank washings) does not risk contaminating the environment, local water sources or impacting on the health of staff, visitors or local communities Controls are in place to mitigate the impact of contaminated wash water (e.g. recorded on the fertiliser / spray application record) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check and record the details of controls in place for the management of waste water from washing any contaminated machinery to mitigate pollution |
| 6.1 Agrichemical Understanding & Planning | | |
| 6.1.1 | There is a job sheet for each spray application. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Check each spray job sheet covers; Measures taken to prevent spray drift Notifications, who will be notified and how (grower or contractor) The orchard/s map is current Orchards planted right to a boundary must have drift mitigation for these areas specified Sensitive areas Buffer zone requirements are met All nozzles are used when required <p>INSPECTOR/AUDITOR GUIDELINES:</p> <p>Check that the latest Crop Protection Standard, version is on file</p> <ul style="list-style-type: none"> Check a sample of spray application job sheets for the orchard(s) and all requirements are covered Check that the job sheets cover details for different orchards (against the Property Spray Plans, when applicable) |

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| 6.1.2 | Re-entry procedures are in place. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Follow the grower procedures and includes; <ul style="list-style-type: none"> Know what the re-entry periods are for the products used Agrichemical label for re-entry information Re-entry signage is used on the orchard when required <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the spray job sheet for re-entry procedures for each KPIN Refer to the Zespri Crop Protection Standard for re-entry times. Discuss with the contractor how re-entry times are controlled Visually check the re-entry sign displays for the correct details (date for safe re-entry to the property) Signs must be displayed at all access points to the orchard <ul style="list-style-type: none"> Zespri Crop Protection Standard Orchard Map Product Label |

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| 6.2 Agchem Storage | | |
| 6.2.1 | Agricultural compounds are stored in a location that is sound and secure, in accordance with local regulations, including the display of appropriate signage. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Keep agrichemicals in stores that are structurally sound and kept locked at all times • All chemicals and fuels that need an approved handler test certificate must be locked away when not in use • Keys to locks should be kept out of the hands of children and unauthorised people. It is good practice to lock away all chemicals and fuels, not just ones that require an approved handler • Check the store has the appropriate signage displayed for the contents of the store, as a minimum ""HAZCHEM 2WE agrichemicals"" and ""No smoking"" sign • HSNO classification of product stored are known and recorded on the inventory • Any special storage requirements are known and recorded on the inventory for each product based on its hazardous properties (e.g., explosiveness, flammability) and compatibility to other hazardous products • The store is able to hold all types and amounts agrichemicals • The store may also be required to meet territorial authority (regional and district plans) requirements and building consent • If the storage shed(s) are the responsibility of the MSO, report any issues when entering/using for any spray application <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Visually check that the store is structurally sound (i.e. not broken, falling apart, or any holes where access could be made) • Check that there is plenty of room for safe handling, storage of PPP to prevent risk of cross-contamination • Visually check to ensure that the store is locked and has the appropriate signage displayed for the contents of the store (minimum ""HAZCHEM 2WE agrichemicals"") <ul style="list-style-type: none"> – ‘No Smoking’ signage to be displayed on door • NA if the agrichemical storage is the responsibility of the MSO |

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| 6.2.4 | Agrichemical compounds are stored in a location that is well lit, well ventilated, appropriate to temperature conditions and able to retain and manage spillage. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • The store has fire protection, nearby water supply, fire extinguishers, moisture and heat control • Ensure that the store has ventilation, and storage temperatures that meet label requirements • <u>Has</u> a reliable source of lighting (natural OR artificial) so that product labels can be easily read • There is bunding or retaining tanks for 110% of the largest stored liquid • A spill kit is available in a fixed location • Shelving is made from non-absorbent material <p>INSPECTOR/<u>AUDITOR</u> GUIDELINES:</p> <ul style="list-style-type: none"> • Visually check there is adequate ventilation and temperatures meet label requirements in the store • Enough natural or artificial light to be able to read product labels • Visual check that the store is able to retain 110% of the largest stored container or liquid • Concrete must be impermeable or painted with a resistant material |
| 6.2.5 | Obsolete agrichemicals are stored, identified and disposed of via approved channels. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Keep obsolete agrichemicals securely stored and identified separately from products in use • Expired obsolete agrichemicals should be disposed of • Options include returning agrichemicals to the supplier • Dispose of via approved channels (e.g. Agrecovery) • Keep records of the disposal (on the agrichemical inventory) <p>INSPECTOR/<u>AUDITOR</u> GUIDELINES:</p> <ul style="list-style-type: none"> • Check disposal records of obsolete products and other hazardous substances. • Check any stored on the property are separated and clearly labelled. • If there are no obsolete products on the property or that have been disposed of in the last year, mark NA |

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| 6.2.6 | Products are stored appropriately within the agrichemical store. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • In original packaging and stored according to group type • Liquids below powders • Products for kiwifruit separate from products for anything else • No risk of cross contamination or risk to worker health & safety • Current SDS for each product stored (no older than 5-years) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Visual check to see that all products have labels • Check to see if products have been decanted, the container is correctly labelled • Visual check the store to ensure that liquids are stored below powders. Record example of what is stored where • Check Safety Data Sheets (SDS) are readily accessible for all products stored on the orchard |
| 6.2.7 | A product inventory is in place for all stored agrichemicals, fertilisers and bio stimulants | <p>CRITERIA:</p> <ul style="list-style-type: none"> • The Health and Safety at Work (Hazardous Substances) Regulations 2017 has specified that the documented product inventory must meet the following requirements: <ul style="list-style-type: none"> – Prepare and keep a list (an inventory) of all the hazardous substances used, handled, manufactured, or stored at your workplace, including hazardous waste – The inventory shall be updated within a month of stock movement of stock – Ensure that it is available to emergency services workers – A record of special storage requirements for agrichemical and fertiliser products stored onsite – Applicable for businesses that hold/store agrichemicals on site. A Safety Data Sheet (SDS) must also be available for each hazardous substance stored – Hold two copies of the Inventory, one in the shed and one kept elsewhere in the event of a fire <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check there is a full list of all the agrichemicals and other hazardous substances • Check that it is up to date (updated within a month of stock movement) against the contents of the store • Agrichemical Inventory Record can be used for this Two copies to be kept - one for the store and one elsewhere |

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| 6.3 Agrichemical Use | | |
| 6.3.1 | The Zespri Crop Protection Standard is followed. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Have access to and follow the most up to date version of the CPS • Know the process for obtaining a JA (Justified Approval) if applicable • Product label instructions are followed <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check the MSO/Contractor has a copy of the current version of the Crop Protection Standard <ul style="list-style-type: none"> • Check Spray Diary Records and -if there are any Justified Approvals on file • Check other records i.e. sprays that have been applied but not entered into the Spray Diary system |
| 6.3.2 | Agrichemicals are mixed and handled appropriately. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Use adequate measuring equipment for mixing • Follow label instructions regarding filling, mixing, and handling • Ensure only registered Growsafe certification persons handle agrichemicals • Offer medical checks to those employees exposed to significant volumes of agrichemicals or other hazardous substances <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check the applicator(s) have the appropriate GROWSAFE® certificate, record number(s) and expiry • Discuss how products are measured and mixed to check the correct procedures are followed • Compare the verbal process with the label instructions • Ask how the measuring jugs, cups etc. are checked for accuracy (typical answer, another measuring jug or weighing 1 kilo of water which equals one litre) • Sight the measuring and mixing equipment to check condition • Check annual records of calibration |

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| 6.3.4 | Surplus agrichemical or other application mixes are disposed of responsibly. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Surplus spray tank washings of agrichemical products are used on crop as the first method of disposal, within the restrictions outlined on the label Surplus mixes and tank washings are disposed of in a way that does not risk compromising the food safety & environment (refer to 4.4.6) Options for disposal of surplus are detailed in the spray job sheet Keep records of the application of surplus mix <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the spray job sheet to ensure method of surplus mix disposal is documented Check there are disposal records, typically recorded in the online Spray Diary Check Growsafe good practice is implemented to ensure no disposal run off occurs near driveways/neighbouring properties/roadside/waterways and drains When disposing to untreated land, check this is in compliance with local legislation and not near water or any other environmentally sensitive areas <ul style="list-style-type: none"> Property Spray Plan Form Product Label instructions |
| 6.4 Agrichemical Containers | | |
| 6.4.1 | Empty agrichemical containers are stored and disposed of appropriately that meet local regulations and does not risk compromising the environment or human health. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Dispose of empty containers as per local legislation ensuring that exposure to humans and the environment is avoided Hold receipts to demonstrate disposal Follow disposal methods in the Property Spray Plan <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Discuss how containers or other contaminated items are handled prior to disposal to check that they are kept secure (locked away) Check disposal receipts, if applicable are consistent with quantity recorded in the inventory Refer to NZS 8409:2021 Management of Agrichemicals When disposal of items contaminated with agrichemicals is in compliance with legislation, the principle is met If containers are not disposed of through a scheme such as Agrecovery or another official disposal scheme, then this principle shall be marked No |

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| 6.4.3 | Empty agrichemical containers are rinsed at least three times with water before storage and disposal. The wash water is disposed of in a way that doesn't risk compromising the environment. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Empty agrichemical containers are pressure rinsed and rinsed at least three times with water before they are stored and disposed of Where applicable, documented instructions for rinsing are followed The wash water to be disposed of in a way that does not contaminate the environment (e.g. designated disposal area) Controls to mitigate the risk environmental contamination wash water are recorded <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check spray job sheet to ensure the handling of containers prior to disposal is covered Typically, containers are triple rinsed prior to disposal, with detail of disposal of wash water from this process <ul style="list-style-type: none"> Spray Job Sheet |
| 6.4.4 | Empty agrichemical containers are not reused for other purposes. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Empty agrichemical containers are only used to transport the identical product Empty agrichemical containers are not reused Containers are cleaned, punctured and securely stored empty prior to disposal Do not use agrichemical containers for any purpose other than to hold or transport the identical product <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Visually checks in the orchard that agrichemical containers are not used for any other purposes Check containers used to transport the identical product are labelled All containers should be in a locked store |
| 6.5 Agrichemical Records | | |
| 6.5.1 | Invoices or procurement documentation for all agrichemicals are kept. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Keep on file the invoice or other documentation of purchase / procurement of all agrichemicals <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check invoices (or packing slips where the accountant keeps the invoices) for the agrichemicals purchased Agrichemicals that are received from others and not purchased directly, check there is documentation / records |

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| 6.5.2 | Full records of all agrichemical applications are kept. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Record all applications in spray diary <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Ask the MSO / Contractor to access Spray Diary reports for all of the KPINs included in the management system Sample a selection of spray diary entries for the KPIN(s) that are part of the management system Check all required fields have been completed correctly Check the technical authorisation person for application is listed as well as the applicator Check spray application records since last harvest that have not been recorded in the Zespri Spray Diary <ul style="list-style-type: none"> Zespri Spray Diary records Property Spray Plan(s) |
| 6.5.3 | Records for any other substances applied to the water, soil or irrigation system are kept. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Keep full records of any other substances used on the orchard Keep records for any justified approvals to go with these substances <p>INSPECTOR GUIDELINES:</p> <ul style="list-style-type: none"> Check records of home-made preparations, plant strengtheners, soil conditioners or any other substances are used on certified crops, where applicable The record must include the name of the substance (e.g. plant from which it derives from), the trade name (if purchased product), the field, the date and the amount For any products that are not covered by the Zespri Crop Protection Standard full records of application shall be kept Foliar fertilisers that are not listed in the Allowed Other Compounds (AOC) list require a Justified Approval (JA) request before use When checking the spray shed make sure there are no unaccounted-for products This can be marked NA if not other products have been used Other invoices <ul style="list-style-type: none"> Zespri Justified Approval(s) Property Spray Plan(s) |

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| 7.1 Policy & Risk Assessment | | |
| 7.1.1 | There is a documented food safety policy signed by the person responsible for food safety. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • A Food Safety Policy is documented and retained • The policy is signed by the person designated as responsible for food safety <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check that the Orchard Food Safety Policy has been signed by the person responsible for workers food safety and hygiene • Cross reference with the person named in principle 8.1.4 <ul style="list-style-type: none"> – Orchard Food Safety Policy |
| 7.1.3 | There is a written Food Safety Risk Assessment. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Complete a Food Safety Risk Assessment that covers all related risks and how to control them • Record hazards that could pose a food safety risk, not just the food safety of people handling the fruit • Consider cross contamination risk from bins, equipment, transport, fruit in contact with ground or other sources • Consider allergen risks that could also occur as a result of cross contamination with other products or objects • Consider storage vessel condition is clean and sealed when water other than from the orchard is taken to the orchards and used for mixing agrichemicals • Consider water quality monitoring and recorded (i.e. town supply) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check the Food Safety Risk Assessment covers hazards that could pose a food safety risk in the production environment • If the harvesting process is not an orchard activity, the risk assessment will cover all other aspects of food safety and hygiene on the orchard • Check that consideration is given to bins, equipment, transport, fruit in contact with ground or other sources, as well as people handling fruit and allergen cross contamination risks • Check that it has been completed in full, is appropriate, has been reviewed and signed annually <ul style="list-style-type: none"> – Food Safety Risk Assessment(s) • For agrichemical management; ask what water is used for mixing agrichemicals, do they bring in water / use orchard water • Check how water quality is recorded |

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| 7.3 Water | | |
| 7.3.1 | There is a water quality risk assessment, if you are bringing water onto an orchard. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The risks associated with any preharvest water used are documented in food safety risk assessment (i.e., for mixing spray chemicals) The frequency of water testing (where applicable) is documented in the risk assessment Appropriate action is taken to mitigate any identified risk <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the Food Safety Risk Assessment record, if water is used for irrigation, fertigation, frost protection, spray application Check the hazards are specific to the orchards The risk assessment shall detail all possible risks, how they are controlled, and justification for the water testing type and frequency is evidenced Make sure that all sections of the form have been completed, reviewed, signed and dated annually Check contamination risks to surface, ground water is covered in the risk assessment, if used Check risks to drinking/hand washing water are covered in the food safety risk <ul style="list-style-type: none"> Food Safety Risk Assessment Form |
| 7.3.2 | Water is tested in accordance with the risk assessment. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Water sources are tested at the frequency documented in the risk assessment Water test results are on file Records of water testing that detail who is responsible for the sampling, the method of sample collection, the laboratory used for testing and the location sampled are kept ISO accredited laboratories are used for any testing (e.g., water testing) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Use the water testing procedures as guidance on when a water test is needed At least one annual water test is required for all sources that are not town supply If town supply is stored in tank, one annual water test is required. <ul style="list-style-type: none"> Water Testing Procedures Food Safety Risk Assessment |

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| 7.4 People Hygiene | | |
| 7.4.1 | Documented hygiene procedures are in place to minimise food safety risks. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Have documented food safety instructions that are conveyed to all workers handling the fruit, as a minimum; <ul style="list-style-type: none"> Personal food safety instructions (i.e. clean hands, smoking, eating and drinking) Operational food safety instructions (i.e. clothing & gloves, animals) Notification (i.e. suffering from symptoms of infectious disease) Equipment and cleaning (i.e. bins, tractors, picking bags) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check that Food Safety Rules are displayed in a format that the workers will understand if they don't speak the language Check that the rules / instructions cover all required information for operational, personal hygiene, sickness notification, equipment and cleaning <ul style="list-style-type: none"> Orchard Food Safety Rules |
| 7.4.2 | Adequate handwashing facilities are available to all who come into contact with the fruit. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Have documented food safety procedures that are conveyed to all workers handling the fruit Ensure food safety instructions are followed Ensure handwashing occurs before handling the fruit, after eating and using the toilet Food safety instructions have been reviewed annually <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check handwashing facilities on the orchard are within easy access from where they work There shall be a station near all toilets If there is only non-potable water that's not tested, include hand sanitiser as well as soap and water There must be liquid soap, single use towels and a rubbish bin provided wherever handwashing facilities are present Bar soap and material hand towels are not acceptable Facilities must be clean, if not then this principle is non-compliant <ul style="list-style-type: none"> Orchard Food Safety Rules |

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| 7.4.3 | Clean and stocked toilets are provided for workers and are easily accessible. | <p>CRITERIA</p> <ul style="list-style-type: none"> • Ensure that toilets are: • Provided in the vicinity of work (vicinity - "the area near or surrounding a particular place") • Designed and located so as to minimise risk of contamination • Clean, maintained and stocked • Report any issues that do not meet this Principle to Pre-Harvest preharvest.mailbox@zespri.com <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check / discuss toilets are appropriately maintained, are clean and stocked regardless of the time of year of the inspection, if not check the issues have been raised with the MSO or Zespri • Field sanitation units shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination and allows direct accessibility for servicing • Fixed or mobile toilets are constructed of materials that are easy to clean and they are in good state of hygiene • Toilets are expected to be easily accessible to the place of work <ul style="list-style-type: none"> – Orchard Food Safety Rules |
| 7.5 Equipment, Machinery & Services | | |
| 7.5.1 | Vehicles and equipment used for loading, transport or storage of harvested product are cleaned, maintained and appropriate for use. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • All vehicles used on orchard for loading, transport of harvested kiwifruit or any other use that comes in contact with produce are in good condition and clean to prevent contamination • All vehicles on the orchard(s) are safe for use • All vehicles provided for transport of workers on public roads have a current Warrant of Fitness • Keep records for any maintenance carried out on application equipment and a record of annual calibration • The person calibrating equipment need to be able to show that they are competent to do so. (This may be through having a documented calibration procedure to follow, C.V. outlining competency) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check Orchard vehicles (including forklifts) used for loading and transport of harvested produce are clean and maintained so as to prevent produce contamination (e.g. soil, dirt, animal manure, spills etc.) • Check vehicle WOF and registration (on public roads) <ul style="list-style-type: none"> – Food Safety Risk Assessment – Orchard Food Safety Rules – Current WOF and registration |

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| 7.5.2 | Equipment is stored in such a way as to prevent product contamination. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • All picking equipment is clean, maintained and where applicable sanitised before use • Use only food grade products (cleaners and sanitisers) and store these in a way that does not risk contamination of kiwifruit • Ensure any equipment or tools that is in contact with chemicals are handled, stored and washed separately from anything in contact with the kiwifruit <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check all picking equipment is stored in good condition, clean, maintained and covered • Check storage is in a way that does not pose a risk contamination of kiwifruit • Check equipment and tools that are in contact with chemicals are handled, stored and washed separately from anything in contact with the kiwifruit <ul style="list-style-type: none"> • Managing Tools & Equipment (HortNZ) <ul style="list-style-type: none"> – MPI approved compounds – Approved Chemical List |
| 7.5.3 | Containers used on orchard including for harvest are cleaned, maintained, and appropriate for use. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Containers are constructed to facilitate cleaning and maintenance • Reusable containers are cleaned before use • Cleaning procedures for containers and frequency is in accordance with outcome of food safety risk assessment • Harvest containers are used exclusively for kiwifruit • Bags, Gloves etc used for harvesting and fruit handling have been cleaned and sanitised • Do not store anything other than kiwifruit in the bins or use the picking gloves and bags for anything other than for marketable produce <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check there is a documented cleaning schedule that covers equipment used in the harvest process (e.g. bags, gloves, bins), how and when it is cleaned • Check reusable harvesting containers, harvesting tools and harvesting equipment are cleaned and maintained • Check that the sanitizer used is approved • Cross check with what you sighted in 7.5.2 |

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| 7.5.4 | The control of suppliers of inputs and services is covered in the Food Safety Risk Assessment. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Include suppliers of inputs and services in the Food Safety Risk Assessment • Document how you will control any food safety risk associated with suppliers of inputs or services • Record all agrichemical and nutrient inputs and services (i.e. sub-contractors) and have back-up suppliers • Consider services that are outside of the Contractor CAV program and products that are purchased outside of approved list (i.e. supermarkets) • Chemicals used are on the MPI approved compounds list • Have documented orchard services agreements between the contractor and grower <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Discuss the principle, ask what suppliers have been considered that may introduce a food safety risk, has a supplier list been created (as recommended) to evaluate, approve and monitor suppliers • Examples, use of other contractors, picking bags, gloves, drinking water, cleaning chemicals • Check there is a procedure to control food safety risks associated with suppliers of inputs or services (refer to 7.1 Food Safety Risk Assessment) • Check for back up suppliers, orchard services of non-CAV contractors (i.e. supermarket purchases) • Check for orchard services agreements with the suppliers <ul style="list-style-type: none"> – NZKGI Orchard Services Agreement – Supplier List – MPI approved compounds |

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| 7.5.5 | Equipment, tools, and devices are fit for purpose and maintained. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Equipment, tools, and devices coming into contact with products shall be made of materials that are safe for contact with products (nontoxic) and designed and constructed to ensure that they can be cleaned, disinfected, and maintained to avoid contamination • Equipment, tools, and devices, even those not coming into direct contact with products (e.g. scales, plant protection product (PPP) or fertiliser application equipment, jugs), shall be identified, maintained, routinely verified, and calibrated at least annually • Calibration shall be traceable to a national or international standard or method. Equipment maintenance, calibration and repairs shall be documented. Maintenance activities shall not present risks to food safety, the environment or workers • PPP sprayers - calibration of PPP application machinery (automatic and nonautomatic) shall have been verified for correct operation within the last 12 months, verification shall be certified or documented either by participation in an official scheme (where it exists) or by having been carried out by a person who can demonstrate their competency • Fertigation equipment - at a minimum, annual maintenance records shall be kept for all methods of fertigation machinery/techniques used • Keep records on the maintenance of all machinery used on the orchard <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check there is a program in place for maintenance and cleaning of equipment • Food grade products only are used for cleaning • Check annual calibration records are current • Check what equipment is considered, i.e. kiwifruit contact tools and equipment, harvest bins • Check maintenance records are available <ul style="list-style-type: none"> – Equipment and Machinery Maintenance Records – Calibration records |

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| 8.1 Risk Assessment & Procedures | | |
| 8.1.1 | Documented health and safety risk assessment in place. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Completed Health & Safety Risk Assessment showing the hazards & clear risk mitigation/control measures Risk Assessment reviewed annually Log all incidents, accidents and near misses in the register <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the Health & Safety Risk Assessment for the orchard(s), tailored to the orchard environment Hazards are clearly indicated on the orchard map (check entry H&S board) Check management systems with multiple KPINs to make sure that the risk assessment reflects the risks of all KPINs, clearly stating which KPINs it covers <ul style="list-style-type: none"> NZKGI HS-Wheel-Printable - LR2 NZKGI HS - Wheel - editable template Orchard Map(s) |
| 8.1.2 | Documented Health and Safety policy and procedures in place. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Documents are relevant to the orchard activities and facilities Reviewed annually Include orchard infrastructure, facilities, equipment etc. constructed to minimise H & S Hazards and risks H & S procedures to include contingency plans for workers to be able to remove themselves from the area Any accidents/incidents are reviewed, and corrective action put in place <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check there is a health and safety policy, signed by the person responsible for workers health, safety and welfare and reviewed annually Check the health and safety procedures address the points identified in the risk assessment, are appropriate for the orchard operations They shall also include accident and emergency procedures as well as contingency plans that deal with any identified risks <ul style="list-style-type: none"> Health & Safety Risk Assessment and Procedures |

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| 8.1.3 | Accident and emergency procedures are available and signs visually displayed. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Accident & Emergency procedures are available • Orchard signs are clearly displayed and in visible locations for workers • Potential hazard signs are clearly displayed and in visible locations for workers • Procedures and signs in predominant language and/or a pictorial display <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check Accident and Emergency Procedures at the orchard are visibly displayed in a format that anyone can understand • They shall be legible and include emergency contact numbers and basic accident care |
| 8.1.4 | A person responsible for health and safety is named. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Person conducting a business or undertaking (PCBU) in control of the risk holds the primary duty of care to ensure the health and safety of every person of the contracting company on orchard, as far as reasonably practicable • This includes monitoring of the workplace to prevent harm • The person responsible for workers health, safety, food safety and welfare is known as the RGSP "Responsible for GRASP" • The person responsible must be identified on the Health & Safety Policy as the person responsible for workers health, safety, food safety and welfare • Organisational structure identifying the job functions and responsibilities of at least those employees whose activities affect food safety shall be established, implemented, and maintained <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check the full name of the person who is responsible for the workers' health, safety and welfare is written down on the Health and Safety Policy and/or Health and Safety Procedures for the orchard(s) <ul style="list-style-type: none"> – All policies are signed by the PCBU/RGSP |

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| 8.1.5 | Communication on health and safety between management and workers is in place. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Hold regular meetings with workers to discuss any relevant health, safety issues • Record when the meeting took place, what raised in the meeting, and any action taken in response to any communication on the issue(s) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check that meeting records show evidence that health and safety is discussed openly (i.e. it is part of the agenda for all meetings) • Check and record the frequency of meetings • Records of issues raised must include what action was taken <ul style="list-style-type: none"> – Toolbox Meeting Template • NA for sole traders only |
| 8.2 Agrichemical Safety | | |
| 8.2.1 | All workers in contact with agrichemicals or other hazardous substances have access to health checks. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Health & Safety Risk assessment in place including chemicals in relation to Agrichemical use and workers health • Control measures in place to address any identified risks • Records of action taken • Evidence that workers have information on how to access to health checks <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Contract sprayers and others spending more than 30hr per month spraying should evaluate the risk posed by the type of pesticides they use and it is detailed in the Health & Safety Risk Assessment or Health and Safety Plan • Check if this is documented • All spray operators must know the symptoms indicating a poisoning • When spending less than 15 hours per month spraying, then note this in the evidence the principle can be NA • Make sure there is evidence to support this <ul style="list-style-type: none"> • Worksafe NZ Health & Safety Resources <ul style="list-style-type: none"> – Fact Sheet: Exposure monitoring under the Health and Safety Act – Fact Sheet: Work related health monitoring – NZKGI website, Health & Safety resources – Property Spray Plan |

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| 8.2.2 | Employees and subcontractors are equipped with suitable PPE. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • All PPE to meet legal requirements • Required PPE to be available, properly used and in good repair • PPE as identified in the risk assessment to be available for on orchard operations <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Discuss and check what protective clothing is provided to workers • Check to see that it is in good condition • A non-conformance must be raised if protective clothing is not appropriate for the task • To comply with label requirements or operation of the orchard, • PPE may include the following: <ul style="list-style-type: none"> – rubber boots or other appropriate footwear – waterproof clothing, protective overalls – rubber gloves, face masks, appropriate respiratory equipment (including replacement filters) – ear and eye protection devices etc. as required by label or orchard operations |
| 8.2.3 | PPE is maintained, cleaned and stored properly to prevent risk of contamination. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • PPE kept clean in relation to the level of potential contamination • PPC is laundered separately from personal items • Dirty and/or damaged PPE is disposed of • PPE stored in manner that prevents cross contamination with chemicals <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check what protective clothing is provided to workers • Check to see that it is in good condition, clean and stored to protect the condition |
| 8.2.4 | PPE is used when required by workers. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Records in place to show that PPE is used • Evidence that supply of single use PPE in place or records to show it has been replaced and restocked <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check records are in place to show that PPE is used • Check that supply of single use PPE is recorded, and to show it has been replaced and restocked |

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| 8.2.5 | Facilities in place to deal with accidental operator contamination. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • PPE provided includes eye wash facilities, clean water • PPE should be near to the chemical storage, mixing/filling area • First aid kit with relevant material available • SDS first-aid measures are followed <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check agrichemical storage, mixing and filling stations to see if there is a source of clean water for eye wash and a first aid kit available within 10m • Signs to identify first aid kit <ul style="list-style-type: none"> – Eye Wash – First Aid Kit – Safety Data Sheets |
| 8.2.6 | Instructions and guidance on any hazardous substances provided. | <p>CRITERIA:</p> <ul style="list-style-type: none"> – SDS are readily available for all agrichemicals handled on site – H & S agrichemical signage in place – H & S agrichemical instructions available – Training records for agrichemical applicators <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> – Check SDS for all products stored are available – Select a few products and check that the MSO can easily access this information – Check signage is in place – Check training records of relevant people – Safety Data Sheets – Training Records – <u>'Readily accessible' means a person can easily obtain the SDS, in hard or electronic copy or any other form, whenever they need it.</u> <p><u>NOTE: For further guidance regarding "readily accessible" refer to WorkSafe resource "Safety Data Sheets in the workplace".</u></p> |
| 8.2.7 | Agrichemicals are transported between sites in a safe manner. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Transport of chemicals meets required legal requirements • An accident & emergency procedure is available near the agrichemical storage • Growsafe certification and workbook • Vehicles used for transportation of agrichemicals are adequate for the task i.e. size, type etc • PPE provided for handling chemicals during transport |

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| | | <p>INSPECTOR/<u>AUDITOR</u> GUIDELINES:</p> <ul style="list-style-type: none"> • Check if agrichemicals are transported (not for hire/reward) within the quantity limits listed in schedule 1 of the Dangerous Goods Rule then refer to the requirements listed in section 3.4 of the NZ Standard: Management of Agrichemicals (NZS 8409:2021) • Check the sprayer knows the classification(s) of the agrichemicals transported, and the quantities transported • Check they are aware of the transport requirements in regards to packaging, labelling, documents, segregation, placards and procedures <ul style="list-style-type: none"> – GROWSAFE® workbook – HSNO Classification table |
| 8.2.8 | An accident procedure is available near the agrichemical storage. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Accident and emergency procedures shall be displayed in a location visible to people on the orchard (within 10m of the plant protection product store, mixing areas, and all filling stations). These shall include a map, contact person, and list of emergency numbers • In addition, contractors that store hazardous substances on site may be required to have an emergency response plan in accordance with the Health and Safety at Work (Hazardous Substances) Regulation 2017 • The content of an accident and emergency response plan must cover all required information as set out in the Health and Safety at Work (Hazardous Substances) Regulations 2017 • Safety Data Sheets (SDS) must be available for each hazardous substance stored: https://worksafe.govt.nz/topic-and-industry/hazardous-substances/managing/safety-data-sheets/ Refer to the section ‘what is an emergency response plan?’ for detail of what should be included in the plan • SDSs must include recording how to respond to emergencies based on the hazardous substance product • SDSs stored in a location where workers and emergency services can easily find them <p>INSPECTOR/<u>AUDITOR</u> GUIDELINES:</p> <ul style="list-style-type: none"> • Check an accident procedure containing all of the information listed including emergency contact telephone numbers is visually displayed with the basic steps of accident care and be accessible by all persons of the plant protection product storage facilities and mixing areas • Check the procedures have the minimum requirements, are legible and include emergency contact numbers and basic accident care; map reference or address, contact person, an up-to-date list of relevant phone numbers (police, ambulance, hospital, fire-brigade, show where to access emergency health |

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| | | <p>care on orchard or nearest facility by means of transport, supplier of electricity, water and gas</p> <ul style="list-style-type: none"> • More examples of other emergency details include; location of nearest means of communication, how & where to contact the local medical services, hospital and other emergency services, location of fire extinguisher & emergency exits, emergency cut-off for electricity, gas and water, how to report accidents/dangerous incidents <ul style="list-style-type: none"> - HSNO Classification table - Accident and emergency procedures - Orchard Map(S) - Emergency Contact List - Safety Data Sheets - Emergency Response Plan (if applicable) • If the storage shed(s) are the responsibility of the MSO, the applicator is to check and report any missing requirements / issues when entering |

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| 8.3 Accommodation, Facilities & Resources | | |
| 8.3.1 | On site living accommodation meets regulatory requirements and equipped accordingly. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • The accommodation is legally compliant • The accommodation is habitable • The accommodation is watertight (sound roof), has windows and doors • The accommodation is hygienic for safe food production • The accommodation has potable drinking water, toilets and fitted to an approved drainage system • If providing accommodation to workers it must meet NZ law <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check if the MSO/Contractor has any on site living accommodation • Are they a Recognised Seasonal Employer? Are they an Accredited Employer Work Visa company? Do they provide accommodation for their employed workers? Record details. • Visual check the building is habitable with a sound roof, windows and doors, have a hygienic / safe food preparation area and have the basic services of drinking water, toilet / handwashing and drains • If no then this can be marked NA • Refer to the KIT Regulations Tab for Providing accommodation for RSE-workers and Settlement information employer must give to an AEWV employee |
| 8.3.2 | First aid kit available, locations identified in the risk assessment. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Complete with contents and <ul style="list-style-type: none"> – Location readily available - location stated in Risk Assessment – Signage where it can be found (available with purchase) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check and record the locations of first aid kits stated the health and safety risk assessment • Visually check (Tier 3) first aid kit and signs are available or contractor to provide a photograph (annual) |

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| 8.3.3 | Workers have access to clean drinking water and areas to eat and rest. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Readily available potable water supply for workers to use • Designated eating and drinking are for workers provided • A clean place provided to store workers food <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Discuss and complete an orchard visual check/Tier 3 where workers eat and keep food • Confirm source of water for workers (town supply bottle water) is potable. To be deemed potable it shall be absent of E.coli • Drinking water must always be provided at no cost to the workers • Worker access to drinking water must not be restricted • Facilities do not have to be a building, as long as the rest area is sheltered, breaks can be taken outside on the orchard |
| 8.3.4 | Any transportation provided to workers is safe and complies with all related NZ laws. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Vehicles are safe • Vehicles meet NZ legal requirements • Records of vehicle checks <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check if there are vehicles used to transport workers on the orchard or between orchards • Vehicles when used to transport workers on public roads, comply with national safety regulations - current WOF and registration (visually check or ask for photographic evidence) • Sight maintenance records |
| 8.3.5 | Suitable changing facilities are available where required. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • The changing facility are available when required <ul style="list-style-type: none"> – Used to change clothing and protective outer garments (as required) – May not be required if PPE is applied over existing clothing <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Ask if changing facilities are available to workers (if applicable) • Visual check the changing facilities meet building requirements • Changing facilities may not be needed if PPE is applied over existing clothing |

“GRASP”

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| 1. Right of Association and Representation | | |
| 1.1 | The right or refrain of workers to join and/or form trade unions or other worker organisations of their choice is respected, in accordance with applicable national legal requirements. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Keep records of visits of trade union representatives, and/or contacts of trade union representatives, etc. • Be available and known to the worker representation and/or management liaison (where applicable) • It is recommended to display contacts of trade unions at the site or be available from the MSO/Contractor <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check this information is available through; <ul style="list-style-type: none"> – Discussions with MSO/Contractor – Document review of; toolbox meeting records, union visits, Human Rights Policy includes respect employees' right to freedom of association and collective bargaining – Interviews with the worker representation/management liaison (where applicable) – Where interviews are possible (i.e. Tier 3/worker representation), cross-check the above evidence with workers statements • Refer to Regulations Tab for relevant NIG details |

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| 2. Worker Representation | | |
| 2.1 | Current workers have decided on appropriate representation to help assess, communicate and monitor their interests. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Possible types of representation for the workers: <ol style="list-style-type: none"> Maintain the same representation as in the previous production cycle Using the representative(s) of a trade union organisation to represent workers Use a new chosen form of representation (from this list) Decide not to have collective representation Representation can be: <ol style="list-style-type: none"> A person or group of persons A representative of a labour organisation legally active at the site A trade union representative, a delegate, work councils, or any other type operating legally Any other type that provides opportunity to the workers to raise their voice (i.e. a documented, regular worker organised meetings led by the workers to discuss issues) A management GRASP liaison: <ul style="list-style-type: none"> when workers decide against all of the options above and individually self-represent before management when workers with five or fewer workers during a production year decide not to have a collective representation, a written declaration shall be provided by the workers, and management or supervisory staff shall take the role of the management GRASP liaison. This self-representation is appropriate when <ol style="list-style-type: none"> the decision has taken place in the ongoing year or production cycle and it consists of workers currently employed and present at the site <ul style="list-style-type: none"> If there is an appointed worker representation/management GRASP liaison, they must be present for at least part of the assessment. <p>INSPECTOR/<u>AUDITOR</u> GUIDELINES:</p> <ul style="list-style-type: none"> When workers self represent there must be a MGL. Check the following: <ul style="list-style-type: none"> workers understand individual self representation is before management as MGL, MSO / contractor understands that individual worker self representation is to an MGL The MGL can be grower / contractor or chosen by them. Check that the form of workers representation or alternative scenarios (the person(s) responsible for the system of representation) has been applied and clear evidence has been provided (refer to the Contractor WR-MGL decision tree available on the industry website) |

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| | | <p>Examples; type of representation decided upon, self, union, elected, chosen and there is a written declaration, process /procedure</p> <ul style="list-style-type: none"> When there is an appointed worker representation (WR)/management GRASP liaison (MGL), they must be present for at least part of the assessment (Sections 1, 2, 3, 4, 5, 7, 8, 9,10 and 11). If they are not present, the principle is not met and either a non-compliance is raised or suspend the inspection/assessment The WR / MGL can be present by videoconferencing or face to face For GRASP compliance only, a management GRASP liaison is always considered to have the same duties of a worker representation |
| 2.1.1 | When workers decide to represent themselves, this is detailed in the employment agreement, stating that they can represent themselves | <p>CRITERIA:</p> <ul style="list-style-type: none"> When workers decide on self-representation, before management or the management GRASP liaison shall be chosen by management. Management shall keep a written declaration indicating relevant information regarding the worker decision to self-represent (names of participants, date, and details of decision, signed by all the workers involved in the decision). This can be detailed in the employment agreements <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check compliance through document review; <ul style="list-style-type: none"> Example documents to review; employment agreements (casual, fixed, permanent), written self-declaration records, group meeting record, meeting minutes Management shall keep a written declaration indicating relevant information regarding the worker decision to self-represent (names of participants, date, and details of decision, signed by all the workers involved in the decision) This can be in the form of an addendum in employment agreement or a group meeting record |
| 2.2 | The type of worker representation is decided during the time with the highest presence of workers, and is communicated by management to all workers. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The worker representation/management GRASP liaison decision process takes place during the most recent peak season or harvest period when the highest number of workers is present during activities registered with the MSO/Contractor. <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Due to the transient nature of the workforce, it is acceptable for the decision to be made at the start of employment for casual workers |

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| | | <ul style="list-style-type: none"> With permanent employees, check when the decision has been made and meets this criteria |
| 2.3 | The worker representation/management liaison has been instructed on their role, duties, and rights within GRASP. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The main role, duties, and rights shall include providing information on the complaint process to all workers, meeting with workers, sharing information from management, and facilitating worker contact with the different labour unions and contact with the local labour authorities. The worker representation or management GRASP liaison have received instructions on the duties <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the job description includes; <ul style="list-style-type: none"> The main role, duties, and rights Information on the complaint process and to provide to all workers upon request Meeting with workers, sharing information from management Facilitating contact with the different labour unions accessibility to the workers and contact with the local labour authorities Cross check the above with the worker representation and management GRASP liaison interviews that responsibilities have been communicated Check the training records for instruction on the WR / MGL duties Good practice to use the Worker Representation Induction & Training Record Form. If the MGL is the MSO / Contractor they must have a record of how they understood the role. |
| 2.4 | There is documentary evidence of monthly gatherings between workers, their representation, management GRASP liaison on issues relating to GRASP and are informed of the GRASP assessment at least two working days before the date of inspection/ assessment . | <p>CRITERIA:</p> <ul style="list-style-type: none"> The workers attend monthly gatherings during the peak season and/or harvest period The monthly gatherings shall at least take place during the time when the highest number of workers are present within the registered activities of the MSO/Contractor The gatherings include informing the workers and worker representation of any GRASP assessment at least two days before the date of the assessment For an appointed management GRASP liaison, workers shall meet monthly with the management liaison Gatherings may take the form of meetings or conversations where information is exchanged, provided workers can speak/ask |

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| | | <p>freely. As conditions allow, the gatherings can take place in a single group, smaller groups, or one-to-one sessions</p> <ul style="list-style-type: none"> • Discussion of GRASP related issues shall include as a minimum: <ul style="list-style-type: none"> – Information on schedules, wages, changes in labour conditions and any other working condition of the workers – Information on the human rights policy – The importance of the complaint process and how to use it <p>INSPECTOR/<u>AUDITOR</u> GUIDELINES:</p> <ul style="list-style-type: none"> • Check that there are records of monthly gatherings and they include worker attendance and a record of workers absent • Check when workers are informed of the GRASP assessment • Cross-check with worker representation interviews (where applicable) • When there is no worker representation, the MSO/Contractor has gatherings to discuss issues of payroll, human rights policy and complaints process • Check workers can access it or a copy provided to workers • Must be understood by the workers (a native language if English is not understood) |

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| 3. Complaint Process | | |
| 3.1 | A confidential complaint process is available to be used by workers free of any retaliation or penalty. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The complaints process shall be simple and available to all employed labour The complaints process shall be available in the predominant language(s) of the workforce and/or pictograms <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check compliance through document review; <ul style="list-style-type: none"> Example documents to review; written instructions/procedure/process Interview with the worker representation/management GRASP liaison (where applicable) Refer to Regulations Tab for relevant NIG details |
| 3.2 | The easy-to-understand complaint instructions, is implemented and are provided to all workers. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The compliant process shall be available in the predominant language(s) of the workforce and/or pictograms (especially for workers who cannot read). The process shall indicate how and where to file the complaint information, time for resolution, who will answer, and a clear statement that the process will be confidential without prejudice to workers' right to go to court and that there is no retaliation or penalty for using the process The process provides any worker with possibilities to file and get an answer to the complaint in an appropriate time and in a confidential form The complaints process shall also cover verbal complaints that can be sorted out immediately with a personal conversation/meeting conducted in a language understood by the worker There shall be evidence that workers/contractors received a copy of the document, e.g. electronic delivery with proof of receipt by the worker/contractor. When instructions are posted, evidence shall indicate clearly where to find the instructions (i.e. on the lunch room noticeboard) Where there is an option for immediately resolving complaints, the meeting/conversation shall be conducted in a language understood by the worker and shall be documented. On Orchard Contractors shall have access to the Grower/MSO complaint procedure. Contracted workers shall receive these instructions and be entitled to file complaints Examples of their complaints can be: <ol style="list-style-type: none"> within the scope of the commercial contract (e.g., conditions or hours of work at the orchard are not as indicated) or |

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| | | <p>2. outside of the scope of the commercial contract (e.g., direct employer does not provide good housing accommodation)</p> <ul style="list-style-type: none"> For short-term workers, the process shall provide shorter resolution times <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check compliance through document review <ul style="list-style-type: none"> Check there is a complaints process Check how it is understood by workers Review records of how the process is provided to the workers (e.g., induction) |
| 3.3 | The workers and worker representation has been instructed on how to use the complaint process. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The worker representation or management GRASP liaison shall provide the instruction to the worker, person, or organisation selected to support them in filing the complaint Definition: “instructed on” shall require describing to the worker representation how to use the process on behalf of the workers The worker representation shall be made aware that the worker must authorise the worker representation to file a complaint on their behalf The worker representation shall be made aware of the obligation to keep all the information confidential Where workers decide not to have a form of representation, workers shall be allowed to request help from other fellow workers If applicable, a document of the worker’s consent to have the worker representation act on their behalf shall be filed When this representation is requested by the worker, to protect the anonymity of the complainant, the process shall respect the request and continue without affecting the outcome <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check how the worker representation/management GRASP liaison has been instructed on the complaint process Example documents to review; training records, meeting records, discussion with the MSO/Contractor evidence Check worker’s consent, where workers decide not to have a form of representation, workers shall be allowed to request help from other fellow workers |

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| 3.4 | There is one or more places to file complaints, at least one should be independent of the supervisory staff, and is publicly available and accessible. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • The place(s) to file complaints can be <ul style="list-style-type: none"> – a designated person of the workers at the orchard – a designated place where the complaint process information is available, accessible and known to the workers – the appointed person to receive complaints is known by the workers – an appointed worker representation/management GRASP liaison, and – a process to file a complaint which provides an anonymous option • If there is worker representation, any complaint received must be in confidence and no sharing of details, the MSO/Contractor shall inform the representative of any complaints they receive directly • Workers shall be informed about at least one grievance channel independent of supervisory staff. For example, a place out of sight of management staff at the orchard, the Zespri ""Speak-Up Line"" - see Regulations Tab for links • Definition: “supervisory staff” shall refer to any employee in contact with workers or with supervising duties at the orchard (e.g. orchard manager, team supervisor) • If the MSO/Contractor does not have supervisory staff, the MSO/Contractor shall have knowledge of the complaints process • Definition: “independent of supervisory staff” shall indicate a place or a person/persons/organisation independent from management (i.e. phone number of an authority, NGO, or third-party organisation), so that individuals with a complaint cannot be intimidated • MSO/Contractor can additionally include a community representative or organisation as another place to file complaints <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check there is an alternative to the complaints process i.e., See Something Say Something or the 0800 Speak-Up line • Where interviews are possible (i.e. Tier 3 / worker representation), cross-check evidence with statements • Refer to Regulations Tab for relevant NIG details |

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| 3.5 | Complaints are resolved during the worker employment, in a fair and timely manner. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • The complaints process shall describe options for positive or negative answers (resolution), or no resolution with explanation of why there was no resolution • For anonymous complaints; the answer (resolution) shall be a general notice posted on workers notice boards or places without reference to any worker • Complaints shall be resolved: • For employees and contractors/ subcontracted workers, up to 30 days after filing or before the last day of employment (if this is less than 30 days after filing) • If a complaint cannot be resolved during the time indicated, the reason for late resolution and evidence of resolution notification shall be documented Example; documentary proof that the resolution was included with the last pay check, mailed within 30 days, no resolution was possible and the worker was notified of this • If there is worker representation, the MSO/Contractor shall notify the representative(s) about the complaints and outcomes <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check the complaint process is compliant with the requirements <ul style="list-style-type: none"> – That records demonstrate complaints have been resolved – In the stated timeframe – Workers are notified of the resolution or not – WR is notified of complaints – Where interviews are possible (i.e. Tier 3 / worker representation), cross-check how the complaint process was explained and if any have been resolved with statements |
| 3.6 | A summary record of complaints over the past 24 months is kept. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • The summary record shall include which complaints were resolved, time of resolution, worker notification of the status and final decision • For verbally filed complaints that have been resolved right away, the report shall indicate at least the issue or topic and the person resolving the complaint • Verbal complaints are to be recorded <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check there is a summary record of complaints, and that verbal complaints are listed • The summary must include as a minimum <ul style="list-style-type: none"> – the issue/topic – time of resolution – final decision/status, notification – records are retained for 24 months |

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| | | <ul style="list-style-type: none">Verbal complaints settled right away can have issue/topic and who settled the complaint as a record |

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| 4. Human Rights Policies | | |
| 4.1 | The human rights policy contains and complies with all points referred to in the ILO core labour conventions. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The human rights policy shall, at a minimum: <ol style="list-style-type: none"> Follow all local laws and regulations Respect the workers' rights included in the ILO Core Labor Convention Commit to respecting human rights as indicated in the UN Guiding Principles on Business and Human Rights Avoid and does not engage in, support, or tolerate discrimination in employment practices Not support or tolerate the use of or threats of corporal punishment, mental or physical coercion, bullying, harassment, or abuse of any kind State no worker is held in debt bondage or forced to work for an employer, labour recruiter, or other entity to pay off debt Prohibit any involvement in any act of corruption, extortion, embezzlement, as well as in any form of bribery, whether directly or indirectly <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the policy includes all the stated points of the core labour conventions and compliance to the policy is verified during the inspection/assessment <ul style="list-style-type: none"> Freedom from forced labour Freedom from child labour Freedom from discrimination at work Freedom to form and join a union, and to bargain collectively There are two main New Zealand laws that specifically promote and protect human rights <ul style="list-style-type: none"> Human Rights Act 1993 Bill of Rights Act 1990 Refer to Regulations Tab for relevant NIG details |

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| 4.2 | The contents of the human rights policy are communicated to workers and visitors. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition: “communicated” information is always available in plain language so it is understood and/or pictograms to assist explanation <ul style="list-style-type: none"> e.g. orchard noticeboards, handouts (evidence of handouts shall be presented) If contents are displayed, they shall be in a common area available to all workers (e.g. resting, eating, changing areas, etc.) with an explanation as to where complaints can be made <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check how the human rights policy is communicated Examples; displayed for workers, supervisory staff and visitor while working at the orchard A copy provided to each worker Where interviews are possible (i.e. Tier 3 / worker representation), cross-check evidence with statements |
| 4.3 | All supervisory staff is informed about the contents of the human rights policy. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition: “informed” shall require that, all management staff are provided with a copy of the human rights policy An explanation of the human rights policy is included in the induction process of any new management staff member Definition: “supervisory staff” shall refer to any staff member in contact with workers or with supervising duties at the site (i.e., foreman, manager, crew supervisor, etc.) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check training and induction records for supervisory staff are documented Interview with the worker representation/management GRASP liaison (where applicable) |
| 4.4 | The human rights policy is reviewed every three years, or when there is a change to labour legislation, or a change in GRASP, whichever occurs the soonest. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The human rights policy is reviewed by the RGSP “Responsible for GRASP” When there is a change to labour legislation, or a change in GRASP, whichever occurs the soonest <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check if changes to the labour legislation that regulate the policy, changes to GRASP, have occurred over the 3-year period Check for changes or inclusions in the policy and confirm it is the current version Record the date of review, who signed the policy |

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| 5. Access to Labour Regulation Information | | |
| 5.1 | <p>The workers and the worker representation are provided with easy-to-understand and current information on New Zealand employment rights.</p> | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Definition: “easy-to-understand” <ul style="list-style-type: none"> – Access provided electronically - a device such as a computer shall always be connected and available, workers shall have received instructions on how to operate the device – Written information such as NIGs or factsheets available, either displayed, or the information provided to workers • Definition: “up-to-date” shall require that information is from the current regulation on the topics of the criteria • Under NZ law the Person Conducting Business or Undertaking (PCBU) has the primary duty to ensure health and safety • <u>PCBU could be the same person as the person responsible for GRASP</u> • <u>NOTE: Good Practice is to use the Employment NZ ‘Employment-Rights-Quick-Guide’ factsheet as a handout</u> <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check what information/websites/handouts the RPGSP uses to inform employees, worker representation/management GRASP liaison • Check how they are available to workers (e.g. factsheet, handouts) • Use worker and worker representation interviews to check how the information is provided • Refer to Regulations Tab for relevant NIG details |
| 5.2 | <p>The person(s) responsible for worker welfare have completed the Employment NZ employer modules.</p> <p><u>1. An introduction to your employment rights (employees)</u></p> <p><u>2. Hours of work (employees)</u></p> <p><u>3. Working arrangements (employees)</u></p> <p><u>4. Resolving employment disputes (employees)</u></p> <p><u>5. An introduction to your employment obligations (employer)</u></p> <p><u>6. Working arrangements (employer)</u></p> | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Those responsible are fully aware of their legal obligations and know where to access information on NZ labour law to ensure that these obligations are met • The higher level of protection refers to the regulation which provides better protection or benefits to the worker • The person(s) responsible for <u>GRASP</u> (RGSP) have completed the Employment NZ employer modules and <u>the</u> employee rights module • When there is worker representation, the responsible GRASP person (RGSP) must provide them with the knowledge of relevant legislation • It is recommended that worker representation/management liaison to complete the employment modules • When employees are representing themselves each must be provided with knowledge of employment regulations <u>Employment legislation Employment New Zealand</u> <p>INSPECTOR/AUDITOR GUIDELINES:</p> |

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| | 7. Resolving employment disputes (employer) | <ul style="list-style-type: none"> • Check the employment module certificates and record dates completed. If certificates are unavailable, evidence such as screenshots can be used • Note: Screenshots should capture the date and time on the toolbar menu • When there is worker representation, record if they have completed the employment modules, record dates from the certificates or screenshots • Refer to Regulations Tab for relevant NIG details |

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| 6. Terms of Employment Documents and Forced Labour Indicators | | |
| 6.1 | Workers are legally eligible to work at the site and on the activities assigned. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Each worker is to provide information on their legal eligibility to work A verification process or method to assess this eligibility is implemented, including; <ul style="list-style-type: none"> working permits, (when required for non-nationals) legal minimum age of employment (for young workers) parental consent for workers at legal minimum age of employment (when required by law) residency permits, working cards, or other documents with relevant information Any ID, permit, or document to presented verify shall always be returned to the worker immediately <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the eligibility process used, detail what the process is Check relevant documents of any non-national employees working Check the documents indicate legal eligibility to be employed Confirm a valid working permit is available and retained Where interviews are possible (i.e. Tier 3/workers representation), cross-check such documentary evidence with workers statement Check and record when Visa View is used, check records of the visa checks (either soft or hard copy) are held Refer to Regulations Tab for relevant NIG and evidence of ID and Right to Work in New Zealand details |
| 6.2 | All workers have entered work voluntarily and freely. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Details of the employment process (documentary or verbal) shall be provided, indicating when the acceptance of work/employment happens and by whom If family members of the worker have been employed, the family members (worker's spouse, children, or any other family members) have been separately and voluntarily contracted Definition: "debt bondage" shall refer to a debt which can never be paid due to the conditions, terms, and circumstances of the debt <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check any service agreements of recruitment of labour, or contractual provision in exchange of money or wages for food, shelter, or other services about wages, requesting a statement of any outstanding debts and record of payments by the workers |

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| | | <ul style="list-style-type: none"> • Check that the family members (worker's spouse, children, or any other family members) have been separately and voluntarily contracted • Where interviews are possible (i.e. Tier 3/worker representation), cross-check such documentary evidence with workers testimony • Aspects to consider when cross-checking with interviews: <ul style="list-style-type: none"> – unfulfilled promises on working conditions – contract substitution, promising more than what was delivered – contract in a language the worker does not understand or speak – contract or its content never shown to a worker • Refer to Regulations Tab for relevant NIG details |
| 6.3 | Only legally authorised labour contractors are able to operate when such registration exists. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Definition: “contracted” shall include all organisations used by the MSO/Contractor during the year since the last assessment • Definition: “registration” includes basic legal permits and official business registration to operate as a legal entity or business • There is a verification process or method for checking the registration of contractors (i.e. CAV) • If employment agencies are used (e.g., check the licence, business registration, permits, and registration documents where available, etc.) • Copies of the verification resources (e.g., documents, copies, certification, etc.) shall be kept by the MSO/Contractor <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check the verification process used by the MSO/Contractor, cross-check records i.e. CAVs are current at the time of using the contractor / sub-contractor • If employment agencies are used, check there is a signed agreement and the labour is employed by the MSO/Contractor • Note: If GAP Principle 1.3.1 has been answered No, this principle must be answered No. • Refer to Regulations Tab for who is an authorised labour contractor |
| 6.4 | There is a document of the employment terms and conditions which is available for each worker and has existed from the start of employment. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Definition: “document with the employment terms and conditions” shall indicate a record in writing, such as an employment agreement, schedules, letter of employment • This may consist of several documents with the information: <ul style="list-style-type: none"> – Documents shall be understood by workers (i.e., available in the predominant language(s) of the workforce, or with proof showing that workers understand the document) |

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| | | <ul style="list-style-type: none"> - The worker shall have a copy and/or these documents shall be accessible - Documents shall include a date of acceptance of the agreement and the employment starting date - The agreement shall be signed and dated by the employee and employer <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check compliance through document review; <ul style="list-style-type: none"> - Record how many employees the MSO/Contractor has at the time of the inspection/assessment - Use the register of workers list provided on the day of the inspection/assessment (refer to 7.2) to randomly select a number of employment agreements to review - Confirm and record that the employee and the employer has signed the employment agreement - Review employees payroll history reports (if different to the register of workers) to confirm that the employment agreement date reflects the initial start date - A Person may not be identifiable to others, use employee 1/2/3, supervisor 1/2/3, or initials in the report • Refer to Regulations Tab for relevant NIG details |
| 6.5 | The worker's full name, nationality, date of birth is verified by the employer before employment and has been correctly included in the employment terms and conditions document. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • There is a process or method for checking the information to verify that details in the workers' terms and conditions documents are correct (e.g. a check of worker ID, working permit, passport, birth certificate) • Copies kept on file for all workers, including very short-term workers <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check mandatory information is included • Check if pre-employment information forms are used to collect accurate details, encourage the use if not used • Cross check start dates from timesheet with employment agreement dates • A person signing a pre-employment document, indicates permission for their information to be retained on file and when requested, given to a government agency or third party |
| 6.6 | The employment terms and conditions document must include up-to-date basic information and comply with national legislation and collective bargaining agreements (if applicable) at the time of employment. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Definition: "up to date" shall require a record of employment changes (changes in hours, type of activity, wages, location, housing, transport, basic information on holidays and maternity leave rights or sick leave, etc.) that will apply • If there is on-site housing arrangements, the terms and conditions document shall clearly indicate the weekly days off and/or weekly work shifts |

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| | | <ul style="list-style-type: none"> Definition: “contract type” shall refer to the distinction between permanent, seasonal, period or day labourer, or subcontracted employment Definition: “wages” shall require including a clear calculation of wages (i.e. contract rate/piece work, shift work, extended or even 24/7 availability), and final rate to be paid shall also be included in the employment terms and conditions <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check compliance of the details in the document with the local laws and the national interpretation guidelines Check a sample of different contracts; seasonal, fixed term, permanent to verify the information complies with applicable laws. Record details of findings on minimum wage, working hours, contract rate calculation to show at least legal minimum wage on average and maximum weekly working hours Where interviews are possible (i.e. Tier 3/worker representation), cross-check such documentary evidence with workers statements Refer to Regulations Tab for relevant NIG details |
| 6.7 | Changes to the employment terms and conditions document have been recorded, communicated, and accepted by the worker. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition: “changes” shall cover any modification to the original terms including period of employment, contract type (i.e., permanent, fixed or seasonal worker), wages, working hours, breaks, and the basic job description Definition: “communicated” shall require documentary evidence of the agreement to any changes, e.g., a document change is signed and dated by the worker, annex with a summary of changes with dates and with the worker’s signature and date Definition: “recorded” shall require all changes to be included in the employment terms document or other documents accessible to the worker When there are no changes from workers employment terms, compliance is achieved <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check any modification to the original terms including period of employment, contract type (i.e., permanent, fixed or casual worker), wages, working hours, breaks, and the basic job description The changes must be recorded Check through documentary evidence of mutual agreement to all changes, e.g., document change is signed and dated by the worker, variation letter, schedule/annex with a summary of changes with dates and with the worker’s signature and date Use changes to minimum wage to check how the amendments are completed |

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| | | <ul style="list-style-type: none"> Where interviews are possible (i.e. Tier 3/worker representation), cross-check such documentary evidence with workers statements Refer to Regulations Tab for relevant NIG details |
| 6.8 | Workers have access to their terms and conditions document and other relevant records during previous and current production cycles. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Compliance with this shall require: <ul style="list-style-type: none"> Availability of employment terms and conditions at the inspection/assessment Demonstrate access of current workers to the information at any time during the work schedule <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Discuss with MSO/Contractor how they make information documents access to the workers Check the accessibility of information by workers from the MSO/Contractor documents, records and other evidence Where interviews are possible, cross-check such documentary evidence with workers statements and/or worker representation, management GRASP liaison |

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| 7. Payments | | |
| 7.1 | Person/s responsible for the processing of payroll has sufficient knowledge and suitable systems in place to administer employee remuneration | <p>CRITERIA:</p> <ul style="list-style-type: none"> The person/organisation responsible for payroll can demonstrate experience and there is a suitable system in place for the documentation of the wages transfer (e.g. employee's signature on payslip, bank transfer) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Detail the person/organisation responsible for payroll and their experience Refer to Regulations Tab for relevant NIG details |
| 7.2 | Provide a register of all workers employed and those present on the date of the inspection /assessment . | <p>CRITERIA:</p> <ul style="list-style-type: none"> The register is a reference to be used by the inspector /auditor at the time of the inspection /assessment and not to be kept Once the assessment is completed, the inspector /auditor shall return the register to the MSO/Contractor without keeping copies The register shall include all workers of the current (calendar/seasonal) year or at least those employed since the last assessment <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Request a register of workers and use the register to assist in selection of records for review The register shall contain information (excepting information not legally allowed to be included) on the type of employment agreement, migratory status, date of birth, date of employment, (and date of dismissal, as applicable) The MSO/Contractor shall provide verification of all workers present on the date of the assessment |
| 7.3 | Payments to workers are made in accordance with the worker terms and conditions documents. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Records of payments correspond with the terms of employment on: <ul style="list-style-type: none"> Dates/Intervals of payments Type of payment notification used, (e.g. e-mail) Amount of payments Method of payments (e.g. bank transfer) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Complete random sampling of payments against employment agreements Record findings of method of payment and receipt of wages Where interviews are possible, cross-check such documentary evidence with workers statements and/or worker representation, management GRASP liaison (e.g. ask WR / MGL if there have been any discrepancies / disagreements with wages) |

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| 7.4 | The workers are notified about when payments are made. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition: “notified” shall include making general announcements that payments will be made and there shall be information in the common rest areas of workers, e-mail, telephone messages, etc. in the predominant language(s) of the workforce <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check what defined intervals are for the wage payments Check what is available to the employees (e.g. payslips or pay registers) |
| 7.5 | The record of payment information is accessible to current workers and kept on file for at least 24 months. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition: “accessible” shall require that the worker can look at personal payment information at the site, or it is provided when requested <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check that workers have access to the payment information Discuss with MSO/Contractor Discuss with worker representation and/management GRASP liaison (where applicable) Check that records are kept on file for at least 24 months Refer to Regulations Tab for relevant NIG details |

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| 8. Wages | | |
| 8.1 | Payslips or registers show the hours worked (including overtime), or a calculation paid of harvest amount, the net wages and paid breaks. | <p>CRITERIA:</p> <ul style="list-style-type: none"> All specified items are to be correct according to national labour regulations: <ol style="list-style-type: none"> Amount paid for regular time and overtime Regular working time/contract rate/any other figure used for payment calculation Paid breaks Payslips shall be maintained for all current workers and available upon request for the pay period concerned each time that workers are paid <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the existence of payslips issued to workers Compliance shall require all items to be correct according with the terms and conditions documents and labour regulations Check random sample from the register of workers of payslips; select pay dates that have a public holiday, contract rate calculation if possible Refer to Regulations Tab for relevant NIG details |
| 8.2 | Wages, payments, number of hours, government social security/pension contributions, payroll taxes in the payslip comply with the employment terms and conditions document according to national labour regulations. | <p>CRITERIA:</p> <ul style="list-style-type: none"> All specified items on the payslips are to be correct according to national labour regulations: <ol style="list-style-type: none"> Social security payments/pension contributions Payroll taxes Wages/payments (at least minimum wage) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check compliance that all items detailed in a payslip are correct with terms and conditions document and NZ labour regulations Where interviews are possible, cross-check documentary evidence with workers statements and/or worker representation, management GRASP liaison Refer to Regulations Tab for relevant NIG details |
| 8.3 | All workers earn at least the national minimum wage (and/or the collective bargain agreement wage) within regular working hours. | <p>CRITERIA:</p> <ul style="list-style-type: none"> When worker wages are calculated per piece, quota, or unit, this system shall record that minimum wage and/or the collective bargaining agreement wage (e.g. RSE and AEVW programmes) is obtained within regular working hours All workers, regardless of their gender, citizenship, or migrant status, shall receive the same remuneration for equal jobs and qualification even when remuneration is above minimum wage <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Complete random checks of payslips, detail evidence of hourly rate and contract rate are equal to or above the minimum wage |

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| | | <ul style="list-style-type: none"> Record evidence of the records sighted with detailed reference to the minimum wage, wages by collective bargaining agreement, and regulations on working hours The payslip must show the calculation from contract rate to hourly rate, show top up to gain at least minimum wage Check the number of regular hours (not including overtime) and minimum wage, hours worked must be shown Paid breaks must be shown on the payslip, when a contract rate is defined, at the calculated hourly rate if higher than minimum wage Check bank records, payroll records, tax records Check each employee with the same position has the same remuneration (e.g., orchard workers, supervisors) Refer to Regulations Tab for Contractor Rate Calculation |
| 8.4 | Any deductions from wages and salaries are included in the pay slip and are legally justified in writing, clearly explained, accepted by the worker and retained on file. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Pay slips shall include deduction information There shall be records explaining the deduction In the case of prior loans and advances, deductions from wages made for their repayment shall not exceed the limits prescribed by national law Workers shall be duly informed of the terms and conditions document (employment agreement) for granting and repayment of advances and loans Under the Wages Protection Act 1983 (WPA) which prohibits any deductions from an employee's wages without any deduction, there are exceptions. One being, if a court directs a deduction to be made. There is no requirement to give notice to the employee of the courts' direction but it would be good to do so <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check bank statements of any standing debt and payments (to monitor potential debt bondage) Check deductions (food, shelter, water, transportation to the workplace) are not excessive Where deductions are recorded, discuss with the MSO/Contractor the deductions and reasoning when not clear Where interviews are possible, cross-check such documentary evidence with workers statements and/or worker representation, management GRASP liaison Refer to Regulations Tab for relevant NIG details |
| 8.5 | All records and employee payments are kept for 7-years. Documents are stored securely and effectively controlled. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The MSO/Contractor must demonstrate these records exist and are retained (even if the employee has left) Documents are stored in a secure location and are effectively controlled |

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| | | <ul style="list-style-type: none"> Privacy Act 2020 requirements for all records are implemented (refer to Glossary) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check where documents are stored securely and are effectively controlled The employer must demonstrate employment payment records exist and are retained for 7-years (even for employees that have left) Check the Criteria for this Principle is met, sample recent records (back 3-months for the time of the inspection/assessment) When there are findings, go back further in the records to decide if it is a systemic issue or a one off Privacy Act 2020 requirements for all records are implemented Refer to Regulations Tab for relevant NIG details |

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| 9. Working Age, Child Labour and Young Workers | | |
| 9.1 | Records indicate compliance with national legislation regarding minimum age of employment. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The MSO/Contractor records must show compliance with national legislation regarding minimum age of employment Children - as core family members - working on the orchard, are not engaged in work that is dangerous to their health and safety, jeopardize their development or prevent them from finishing their compulsory school education <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Use the register of workers to check age of the employees and record evidence that the MSO/Contractor complies with national legislation Use the national interpretation guidelines to check the age of compulsory schooling completion and the legal minimum age of employment in the country Comment findings in the report, indicating what has been used to confirm the criteria for the legal minimum age of employment and age of workers (e.g. Educations Act 1989, Health and Safety at Work, General Risk and Workplace Management Regulations 2016, Part 4 Young persons at workplace, Section 46) Refer to Regulations Tab for relevant NIG details |
| 9.2 | No worker under the age of 18 is engaged in night work or tasks that are hazardous in nature at the site. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Check and verify that minors are not engaged in work that is dangerous to their health and safety (according to the applicable IFA All Farm Base Module and local laws), jeopardises their development or prevents them from finishing their compulsory school education <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check and verify that minors are not engaged in work that is dangerous to their health and safety, jeopardises their development or prevents them from finishing their compulsory school education Detail any children found to be working and verify the work meets national legislation Check the validity /current of the documentary evidence used by the MSO / Contractor to make sure <18 are not engaged in night work or hazardous tasks (e.g. the system documents and procedures; official regulations, Employment NZ factsheets) Refer to Regulations Tab for relevant NIG details |
| 9.4 | Supervisory staff have been informed of the legal requirements on working age when workers are under the age 18. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition “supervisory staff” shall refer to any staff member in contact with workers or with supervising duties at the site (e.g. foreman, manager, crew supervisor, etc.) |

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| | | <ul style="list-style-type: none"> If the MSO/Contractor does not have such staff, the MSO/Contractor shall have knowledge of the GRASP criteria on this topic <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check that supervisory staff / management are aware and have knowledge of the legal requirements (i.e., the staff have been instructed and there are training records) |

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| 10. Compulsory School Age and School Access | | |
| 10.1 | There is documented evidence that children of employees at compulsory schooling age (according to national legislation) living or working on the orchard have access to compulsory school education, either through provided transport to a public school or through on-site schooling. | <p>CRITERIA:</p> <ul style="list-style-type: none"> • Definition: “any children” shall include children legally working (i.e., children on family orchards, children at legal age of employment, etc.), children of workers and of supervisory staff (including the owner, operator, etc.) • If the age of compulsory school completion is higher than the set legal minimum age of employment and children below the age of compulsory school completion are hired, the MSO/Contractor shall guarantee that any worker below the age of completion of compulsory school shall have access to school education • Definition: “access to school education” shall require that children have the possibility to enrol in and attend school (i.e., school is reachable within a reasonable distance, school route is safe, etc.) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • Check that no children (minors under the legal minimum age of employment) are employed and / or worked at the orchard • Where there are children of school age, do they have access to schooling? • Refer to Regulations Tab for relevant NIG details |

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| 11. Time Recording Systems | | |
| 11.1 | A time recording system is in place and suitable for the type and the size of the business/entity. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The system shall provide management and all workers with information on the number of hours worked For each worker, the system shall provide the exact in and out times for each day for the easy verification and confirmation by the workers Examples of suitable systems include; a time record sheet, a check clock, electronic cards, phone app. etc. <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check there is a suitable system Record what is the system for worker time keeping The employer must demonstrate that the system can accurately record (where the worker can agree hours) and transfer information to the payroll system Refer to Regulations Tab for relevant NIG details |
| 11.2 | The system provides a record of the regular working hours (any overtime), the effective daily breaks, weekly breaks and holidays for each worker. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The record shall include a description of the calculation of working hours (i.e., new forms of shift work, average number of hours worked, flex-time arrangements, compressed work weeks, on-call work, along with extended or even 24/7 availability shall be reflected in the time recording system) In countries where the legislation and/or collective bargaining agreements allow for flexible working hours, compensation of break hours, schedule changes due to weather, day accumulation or compensation, and other similar forms of wage calculation, the system shall provide a record of how these forms of calculation are applied <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check a random number of timesheets are accurate and include statutory holidays Check the recording system is legible and clearly records breaks and statutory holidays Refer to Regulations Tab for relevant NIG details |
| 11.3 | All workers are instructed on the time recording system and on checking the system. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition: “instructed” requires that communication to the workers on how and where to check the information (e.g., providing information in a meeting, communicating it when hiring combined with signs or board announcements at payday schedule, maintaining a daily signed record sheet, checking clock report, mobile app, providing a summary with code of each worker to maintain confidentiality, etc.) |

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| | | <ul style="list-style-type: none"> This information shall be explained to all new workers, (e.g. induction) For very short-term workers, this information shall be provided in the first meeting of working instructions (e.g., induction) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check how the time recording system is explained to workers (e.g., induction, providing information in a meeting, communicating it when hiring, notice signs or noticeboard announcements at payday schedule, maintaining a daily signed record sheet, checking clock report, mobile app, providing a summary with code of each worker to maintain confidentiality) For very short-term workers, this instruction shall be provided in induction or similar |
| 11.4 | Each worker has access to check their record of hours before or at the moment of wage payment that is easily understood by the workers. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition: “access” shall require that every worker has the possibility to check their record of hours before payment and the possibility to file a complaint using that information <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check type, frequency and efficiency of the access of workers to the records to decide the hours are correct Where interviews are possible, cross-check such documentary evidence with workers testimony and/or worker representation, management GRASP liaison Refer to Regulations Tab for relevant NIG details |

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| 12. Working Hours & Breaks | | |
| 12.1 | Working hours (including overtime, night work and rest days/breaks) with indication of peak/harvesting season are shown in the records. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Records of working hours, overtime, night work instructions and breaks shall be available Good Practice the MSO/Contractor provides the employment NZ module factsheets. Refer to the National Interpretation Guidelines <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check records are compliant with NZ legislation Use the NZ NIG as guidance Provide evidence of what information the employer gives to the employees How is it explained to employees and by whom? |
| 12.2 | Total weekly working hours (including overtime) as shown in the employment agreement records indicate compliance with national legislation (and collective bargaining agreements). | <p>CRITERIA:</p> <ul style="list-style-type: none"> If national legislation or bargaining agreements include averaging arrangements, this method can be used in calculations Safeguards shall be in place to protect the workers' health and safety, including a strategy to balance hours with breaks and monitoring the health and levels of productivity of the worker Safeguards can include; <ul style="list-style-type: none"> providing preventive breaks monitoring fatigue through increases in work accidents shift systems designed to minimize fatigue accumulation and/or risk assessment of the nature of work considered so that workload does not increase risk to safety and health <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check that the calculation methods are; <ol style="list-style-type: none"> clearly defined in line with national legal requirements Compare records of total hours per week for each worker with national regulations, using NIGs as guidance relying on legal regulations Cross-check information with workers Record the method of calculating average hours (e.g., Divide the workers XX hours over XX weeks for total weekly working hours) MSO/Contractor will present a copy of a risk assessment of workers' health and safety and safety procedures indicating what safety procedures are in place for averaging working hours to meet national legal requirements of 40 hours over a 5-day week <u>(not including overtime) unless the employer and employee agree otherwise</u> |

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| 12.3 | Rest breaks/days as shown in the records indicate compliance with national regulations (and/or collective bargaining agreements). | <p>CRITERIA:</p> <ul style="list-style-type: none"> The MSO/Contractor shall have records of rest breaks/days for each worker complying with national regulations Use NIG as a guide The employer must have a system to calculate rest breaks There must be records (e.g., employment agreements, timesheets\, payslips) Rest breaks are to be paid at the workers hourly rate For contract/piece rate, rest break payments are to be paid at the calculated hourly rate <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Compare records of rest breaks/days for each worker with national regulations, using NIGs as guidance and their employment agreement Cross-check information with workers, worker representation / management GRASP liaison (where applicable) Rest breaks are to be paid at the employees earning rate. For piece rate, rest break payments rates are to be paid based on the rate the employee will have been receiving at the time of the break Refer to 8.3 Regulations Tab |
| 12.4 | Supervisory staff are instructed about the safeguards in place to protect the workers' health and safety when working over the regular weekly working time and/or over the peak season weekly working time. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition: "supervisory staff" shall refer to any staff member in contact with workers or with supervising duties at the site (e.g., orchard manager, orchard supervisor, etc.) If there are no such staff, the MSO/Contractor shall have knowledge of the GRASP criteria on this topic and shall have safeguards in place There shall be a record of the safeguards in place to protect the workers' health and safety <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check records of instructions on safeguards (control measures) MSO/Contractor will to present a copy of a risk assessment of workers' health and safety and safety procedures indicating what safety procedures are in place for working more than national legal requirements of 40 hours over a 5-day week Compliance will include the implementation of the health & safety risk assessment control measures and procedures |
| 12.5 | Workers are communicated to effectively use the rest breaks/days during peak season. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Definition: "communicate" shall require providing information during the weekly schedule or in the working instructions given during the day <p>INSPECTOR/AUDITOR GUIDELINES:</p> |

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| | | <ul style="list-style-type: none">• Check how the workers are instructed to use rest break• Cross-check information with workers, worker representation / management GRASP liaison (where applicable) |

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| 13. Disciplinary Procedures | | |
| 13.1 | Workers are informed about the terms of the written disciplinary procedure, and that any deduction from wages as a disciplinary measure is prohibited. | <p>CRITERIA:</p> <ul style="list-style-type: none"> The process shall be simple and available to all employed workers. The written disciplinary process shall include and explain these steps as a minimum: <ol style="list-style-type: none"> Disciplinary hearing Decision Appeal or revision Final decision (corrective measures) Compliance shall require: <ol style="list-style-type: none"> The procedure is explained to workers The written procedure is available to workers Information on the procedures shall be available in the predominant language(s) of the workforce and/or pictograms (especially for workers who cannot read) <ol style="list-style-type: none"> Orchard sign boards Handouts given directly to workers (evidence of accessibility of handouts shall be presented) Special attention shall be paid to workers with very short-term contracts <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the existence of a written procedure Check records of instructions for correct contents Check that all workers are informed of the procedure e.g., induction and training records Check workers with very short-term contracts have been informed - induction and training records Refer to Regulations Tab for relevant NIG details |
| 13.2 | Records are kept of any disciplinary actions taken during the last 24 months. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Records shall include information on the name of the worker, disciplinary situation and resolution, and start and end date of procedure <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check there is a template for recording disciplinary actions Check records of disciplinary actions taken |

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| 14. Onsite GRASP | | |
| 14.1 | Question worker: Legal status - get names and check evidence of legal right to work. | <p>CRITERIA:</p> <ul style="list-style-type: none"> Ask the contractor for the evidence of legal status to work of the employee randomly picked The contractor may have evidence of working status for employees on site with them or the employee may have a worker ID card. Otherwise follow up will be needed with the on-orchard contractor/supervisor for their copy <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Ask the contractor for the evidence of legal status to work of the employee randomly picked The contractor may have evidence of working status for employees on site with them or the employee may have a worker ID card. Otherwise follow up will be needed with the on-orchard contractor/supervisor for their copy |
| 14.2 | Question worker: How do you make a complaint if you have one - explain the procedure? | <p>CRITERIA:</p> <ul style="list-style-type: none"> Does what they say match up with the contractor's procedure as assessed during the desk inspection/assessment <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check what they say matches up with the complaints process assessed during the inspection/assessment |
| 14.3 | Question worker: Have you signed an employment agreement with your employer and been given a copy? | <p>CRITERIA:</p> <ul style="list-style-type: none"> Documents shall be understood by workers (i.e., available in the predominant language(s) of the workforce, or with proof showing that workers understand the document) <ul style="list-style-type: none"> The worker shall have a copy and/or these documents shall be accessible Documents shall include a date of acceptance of the agreement and the employment starting date The agreement shall be signed and dated by the worker <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> The answer will give an indication if further checking is required. If they say no to this question, follow up will be needed with on orchard contractor/supervisor for their copy The contractor must confirm compliance with the GRASP requirement |
| 14.4 | Question worker: Has your employer explained the Privacy Policy to you - how was this done? | <p>CRITERIA:</p> <ul style="list-style-type: none"> The employer must have a privacy policy and made available to all employees Is the policy displayed or a copy given to the employee? <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check that the privacy policy has been explained to the worker, and how? Refer to Regulations Tab for relevant NIG details |

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| 14.5 | Question worker: How are payments made for the hours you worked? Are payments correct with the terms and conditions document (employment agreement)? | <p>CRITERIA:</p> <ul style="list-style-type: none"> Records of payments correspond with the terms of employment on: <ul style="list-style-type: none"> Dates/Intervals of payments Type of payment notification used, (e.g. e-mail) Amount of payments Method of payments (e.g. bank transfer) <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Check the method of payments is accurate with the terms and conditions document |
| 14.6 | Question worker: Has your employer communicated the Human Rights Policy to you - how was this done? | <p>CRITERIA:</p> <ul style="list-style-type: none"> The contractor's Human Rights Policy is actively communicated to the employees Prompts may be needed; handouts? Induction? Have you been forced to work? Have you experienced any unjust requests based on ethnicity, age, sex? Are you a member of a union? <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> The answer will give an indication if further checking is required If they say no to this question, follow up will be needed with on-orchard contractor/supervisor for their copy and how they communicate the policy The contractor must confirm compliance with the GRASP requirement |
| 14.7 | Question worker: What are the emergency procedures (i.e. where to find the first aid kit, who has first aid training, where is the nearest phone). | <p>CRITERIA:</p> <ul style="list-style-type: none"> The answers need to reflect the health and safety procedures and the accident and emergency procedures of the contractor which should have been included in the workers induction and on orchard training Refer to Regulations Tab for relevant NIG details <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> The answer will give an indication if further checking is required If they say no to this question, follow up will be needed with on-orchard contractor/supervisor for their copy and how they instruct the procedures The contractor must confirm compliance with the GRASP requirement |
| 14.8 | Question worker: What food safety requirements have you been asked to complete before starting work on orchard? | <p>CRITERIA:</p> <ul style="list-style-type: none"> Have documented food safety instructions that are conveyed to all workers handling the fruit, as a minimum; <ul style="list-style-type: none"> Personal food safety instructions (i.e. clean hands, smoking, eating and drinking) |

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| | | <ul style="list-style-type: none"> – Operational food safety instructions (i.e. clothing & gloves, animals) – Notification (i.e. suffering from symptoms of infectious disease) – Equipment and cleaning (i.e. bins, tractors, picking bags) • Encourage the persons responsible for worker's welfare to subscribe to the NZKGI Newsletter https://www.nzkgi.org.nz/what-we-do/subscribe-to-our-newsletter • Refer to Regulations Tab for relevant NIG details <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • The answer will give an indication if further checking is required. • If they say no to this question, follow up will be needed with on orchard contractor/supervisor for their copy, and how they instruct the food safety requirements • The contractor must confirm compliance with the GRASP requirement. |
| 14.9 | Question worker: What know your employee rights information have you been given by your employer? | <p>CRITERIA:</p> <ul style="list-style-type: none"> • “Know your employee rights” information is available for employees (starting employment, hours and wages, minimum rights, leave and holidays, workplace policies, resolving problems and ending employment) at https://www.nzkgi.org.nz/what-we-do/subscribe-to-our-newsletter <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> • The answer will give an indication if further checking is required. • If they say no to this question, follow up will be needed with on orchard contractor/supervisor for their copy, and how they have communicated the information • The contractor must confirm compliance with the GRASP requirement. |

EXIT DISCUSSION

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| B.1 | Summarise the activities completed at the inspection/ assessment | |
| B.2 | Review positive findings and any improvements since the last inspection/ assessment (where applicable) | <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> If an annual inspection/assessment - provide the MSO/Contractor with areas they have improved. If this is an initial inspection/assessment, provide the MSO/Contractor with areas that they have done well. <p>NOTE: Refer back to the Entry Discussion A.4</p> |
| B.3 | Present the inspection/ assessment findings, conclusions including non-compliances and observations and how the corrective action required should be addressed. | <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Presentation of the inspection/assessment findings and conclusions in such a manner that they are understood and acknowledged by the MSO/Contractor. The MSO/Contractor is encouraged to implement recommendations observations as these are considered as best practice or areas that if not implemented may lead to a non-compliance. <p>NOTE: to know if the MSO/Contractor has understood ask them to tell you what is the corrective action required.</p> <p>NOTE: Refer back to the Entry Discussion A.4</p> |
| B.4 | Non-compliances are not similar or repeated from the previous inspection/ assessment | <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> A review of the previous inspection/assessment report to identify any trends with finding(s) from the current inspection/assessment. <p>NOTE: Refer back to the Entry Discussion A.4</p> |
| B.5 | Confirm acceptance of non-compliances and timeframe to send suitable corrective action. | <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Do you accept the finding from this inspection/assessment? |
| B.6 | Explain the next steps for; -3-Tier process when it is a new contractor inspection -Annual inspection/ assessment | <p>INSPECTOR/AUDITOR GUIDELINES:</p> <ul style="list-style-type: none"> Make it clearly understood what the next steps are for the type of inspection/assessment and timeframe. <p>NOTE: Refer back to the Entry Discussion A.4</p> |