Date:	
Start Time:	
Finish Time	
Auditor:	
Role:	

	NC Count
Excellent – Annual Internal Audits	0-5
Good – 6-Monthly Internal Audits	5-10
Acceptable – Re-Audit Within 3 Months	10-20
Unacceptable – Re-Audit Within 1 Month	>20
Audit Comparison	**NC Count**
This Audit	
Last Audit …../…../…..	

Legend: C: Conformance; NC: Non-conformance

HARPS Elements

HARPS Requirements

1.0 GFSI Schemes and Approved Suppliers	C/NC	Comments
Is the site certified to a HARPS approved GFSI scheme?		
Is certification current?		
Does the scope of the GFSI program include all products supplied to all retail customers participating in HARPS?		
Is the approved supplier register complete and current?		
Do the approved suppliers meet actions required in the HARPS decision graphic?		

2.0 Specifications	C/NC	Comments
Has a register been developed and maintained that includes all products along with the corresponding specification that is supplied to the Customer?		
Have finished Product Specifications been developed by the Customer or developed by the business and approved by the Customer?		
Have Finished Product Specifications been reviewed whenever the product or process changes, or at least every 12 months?		
Have any changes to the finished product specifications been approved in writing by the Customer before implementation?		
For **Tier 2** Suppliers supplying product in final Retail Customer packaging: Has the business been provided access to the relevant product, packaging and labelling specifications?		
Does the business, if it develops finished product specifications, include all relevant information required by the Customer and shall comply with Australian legislation including the Food Standards Code, National Trade Weight Measurement Regulations and Australian Competition and Consumer Law?		
Do product assessments occur at a minimum twice per product per production day, at the beginning and end of each run, and are non-conformances documented?		
Have customers been immediately advised of food safety issues if product has been despatched to the Customer, and further actions agreed?		

Does the business maintain current supporting and validation data for the finished product shelf-life validation, data supporting the Nutrition Information Panel (NIP) and packaging requirements and specifications?		

3.0 Retention Samples and Shelf-life	C/NC	Comments
Has shelf-life validation of finished product in final packaging been conducted on all new products (bulk and pre-pack) prior to first sale or when unit size, packaging materials or format of a finished product is altered, or when a significant change to the process has occurred?		
Has supply chain product performance testing, unless low risk of quality and safety impacts are documented, been undertaken as part of shelf-life validation, including elements such as elevated temperatures, transport and ripening where relevant?		
Is supporting documentation available and have records of validation been maintained?		
For products where the business is the final touch point before the Retail Customer DC, has Shelf-life Validation, including labelled weight compliance, been conducted at least annually for pre-packed and bulk products and records of validation maintained?		
Are corrective actions taken and documented if shelf-life is inadequate or net weight is not maintained over shelf-life?		
Are retention samples retained for the entirety of the shelf-life of pre-packed and bulk products under the recommended storage conditions?		
Are retention samples assessed against specifications at end of shelf-life?		
Are corrective actions taken if product does not meet regulatory or shelf-life requirements?		

4.0 HACCP Training	C/NC	Comments
Has the HARPS Practitioner shall complete HACCP Training by a Registered Training Organisation (RTO) or a local or international equivalent? Is the statement of attainment for required competencies available? Has the training been delivered either face-to-face or online? Was online training live/ trainer-led (i.e. allows for meaningful interaction between the trainer and trainee in real-time)? (Where a business' representative (now called the HARPS Practitioner) has previously met the training requirements of HARPS v1.0 Element 5.1, this training is considered compliant under HARPS v2.0 Element 4.1.)		
Has the HARPS Practitioner undertaken refresher HACCP training in the last three years and is evidence available? Was the Refresher HACCP Training conducted by a Registered Training Organisation (RTO) (or a local or international equivalent) or a Certified Trainer affiliated with an RTO? Has Refresher HACCP Training been trainer-led and delivered either online or face-to-face.		

5.0 Labelling and Packaging	C/NC	Comments
Have all claims on Retail Customer branded label and packaging, i.e. nutritional, marketing and sustainability claims, been validated prior to commencing supply for Tier 1 Suppliers as well as Tier 2 Suppliers that are responsible for the design of Retail Customer branded packaging?		
Have claims been verified for the supply period and the contracted supply period and records maintained?		
For Retail Customer branded artwork, has the Retail Customer approved in writing (via the portal or email) the artwork prior to packaging being used, or when changes occur?		
Once approved, does the Tier 1 Supplier provide copies of the artwork to all approved Tier 2 Suppliers?		
Is all packaging and labelling reviewed for legal and customer compliance when changes occur? (This element also applies to Tier 2 Suppliers if they are designing their own packaging and labelling.)		
Is a procedure in place to ensure that packaging and labelling materials are assessed to ensure they comply with specifications, and records are kept demonstrating that on receipt to the site that materials are correct and current? Are records of assessments maintained?		
Is packaging, labelling and date coding checked to ensure accuracy and legibility for each product variant? Are checks undertaken daily on each production run, at the start and end of a production run, and when packaging replenishment occurs? Are checks also undertaken when packing resumes after downtime on the product line?		
If printing own labels or code packaging off-line, are checks conducted to ensure the correct coding has been applied at the point of printing?		
Are records of packaging and labelling checks maintained including a copy of the label being applied?		
Is the first label of all issued labelling materials signed-off and verified by an appropriately trained person?		
Is all packaging be stored within a secure and dedicated area and free from pests?		
Are packaging and labelling materials appropriately identified and used as intended?		
Does only authorised personnel have access to packaging and labelling?		
Is only the packaging and labelling specific to the product being packed made available for use at the time of packing? Is this stored in a clearly identified location in close proximity to its point of use?		
Do label records include a count of unused packaging material being returned to the storage location?		
At the end of a production run, is the production line fully cleared of label and packaging material?		
Is packaging fully covered when returned to stock?		
Is any left-over pre-coded packaging destroyed and the volume of packaging disposed of documented?		

Where the HARPS logo is used on packaging or for external business communication, does it comply with the HARPS Logo Style Guide rules and specifications?		

6.0 Personal Hygiene	C/NC	Comments
Do all sites have handwashing facilities that are easily accessible to all personnel and visitors?		
Is the number of facilities for all produce handlers adequate to support the number of employees?		
For packhouses, are these facilities separate to those used as toilet handwashing facilities?		
Are all hands washed with soap and dried using paper towels or air dryers?		
Are packhouse and in-field handwashing facilities connected to or otherwise provided with a supply of water which is tested as E. coli <1 cfu / 100 ml? (Exception for in-field hand washing where potable water is not available: Irrigation quality water may be used if followed by the use of an alcohol solution (60% minimum.)		
Are consumables for handwashing facilities replenished to ensure availability at all times?		
When a risk to product is identified, do all employees, visitors and contractors wear a hairnet and other suitable protective clothing when working around exposed product?		
If workers, visitors or contractors have facial hair, is all facial hair shall be covered by beard nets when packing or inspecting final packed product?		
Is a return to work policy documented and implemented for staff returning to work after suffering a communicable disease?		
Has a documented procedure been implemented detailing actions to be taken when illness or injury results in a contamination incident? Are incidents being documented?		

7.0 Recall	C/NC	Comments
Have all Customers (i.e. if Tier 2 Supplier then the Tier 1 Customers, if Tier 1 Supplier then the Retail Customers) been notified of a product recall from sale within sixty (60) minutes of the decision to recall product being made?		
Have all Customers (i.e. if Tier 2 Supplier then the Tier 1 Customers, if Tier 1 Supplier then the Retail Customers) been notified of a product withdrawal from sale within sixty (60) minutes of the decision to recall product being made?		
Has a mock recall, including mass balance check, been completed on one product supplied to any Customer in the last year? Has one hundred percent (100%) of product been accounted for within two hours? (An actual recall conducted within the last twelve (12) months may be used provided the process and product have not changed.)		

8.0 Allergens	C/NC	Comments
Do allergen statements on product labels comply with customer allergen labelling policies (where applicable)? Has approval been sought from the Customer when the allergen status of a product has changes or allergen statements on product labels have been altered? Did the Customer approve changes in writing before implementation occurring? Are records of approval on file?		
Are all allergen related claims being verified at a frequency based on a documented risk assessment and does this include as a minimum raw material testing (i.e. fruit waxes), cleaning verification and full allergen screen testing?		
Is supporting documentation in relation to allergen claims maintained?		

9.0 Premises, Equipment and Maintenance	C/NC	Comments
Has a log of all equipment been developed and maintained, with multiple pieces of the same equipment individually identified? Does this apply to product contact equipment (i.e. washing baths and conveyors), measuring and detection equipment, processing and picking tools and maintenance tools? Does it identify permitted use in packing and storage areas?		
Have controls been implemented to manage compliance to the register, including compliance by visitors and contractors?		
Is equipment maintained and frequently assessed to ensure it is in good condition?		
Is equipment being maintained according to a planned maintenance schedule?		
Are procedures in place to ensure that wooden tools, field bins and pallets are regularly inspected to assess the condition and suitability for use? Are damaged wooden items which present a risk to product removed from use?		
Is knife and blade sharpening conducted away from product and packaging? Are used knives or blades disposed of in a way that prevents further contamination?		
Are workshops, storage areas and tools in good condition, stored in a clean and safe manner and do not present a risk to product?		
Are procedures in place to minimise the risk of contamination to product from any scheduled or unscheduled maintenance?		
Is all maintenance equipment used in production or packing facilities accounted for upon return?		

10.0 Cleaning	C/NC	Comments
Is a Suitable Management Representative shall be responsible for the cleaning program with responsibilities clearly documented?		

Are procedures in place to ensure facilities, including product storage areas, are effectively cleaned at a suitable frequency? Does this procedure ensure appropriate segregation of product to prevent contamination? Is the frequency based on a documented risk assessment?		
Is all equipment used to store product cleaned to prevent further contamination?		
Has procedure been developed showing deep cleaning activities, with a minimum frequency of activity and verification at the commencement and end of each season? For sites that operate continuously, are the regular deep cleaning activities part of the on-going cleaning program? Is the frequency based on a documented risk assessment?		
Are wire brushes, steel wool and sponges not used in storage or packing areas of the facility?		
Are porous cleaning items such as cloths and scouring pads of a contrasting colour to product and assessed for cleanliness and condition prior to use?		
Are squeegees of single blade construction and maintained in a clean condition?		
Are mops used in storage or packing areas shall be clean and intact?		
Are compressed air lines and high-pressure water hoses not used in the cleaning process unless there are demonstrated benefits that outweigh the risk of equipment and environmental contamination? Is supporting documentation maintained?		
Is all cleaning and maintenance equipment used in production / packing facilities accounted for upon return?		
Are cleaning records maintained, and cleaning activities verified by a suitable management representative to ensure that cleaning has been effectively undertaken?		
Are records kept demonstrating staff training and assessment of proficiency in cleaning effectively?		

11.0 Foreign Object Control	**C/NC**	**Comments**
Has a documented procedure for foreign object control been implemented covering activities from harvest through to packing, storage and dispatch (or as per process scope)?		
Does the procedure include details of how control is maintained of soft (flexible) plastics, hard and brittle plastics, wood, cardboard and paper, glass and metal?		
Has a risk assessment used to identify if a Supplier requires a Foreign Object Detection System		
Are all foreign object detection systems appropriate and validated for the process employed and do they have an effective rejection device?		
Where metal detectors or other foreign object detection systems are used, are checks of the equipment conducted using a method defined and documented by the equipment manufacturer? Is the frequency based on risk and at a minimum at the start and end of a production run?		

Are knives and snips must be controlled regardless of their point of use i.e. in-field, packing and storage areas as well as in office facilities such as lunchrooms? Are knives signed in and out for in-field and packaging areas and checked for integrity before use?		
Is cardboard packaging opened using safe knives?		
Are drawing or map pins and snap blades not used in any circumstance in production and storage areas, as well as in offices located within these areas?		
Are the following items not permitted in production and storage areas and shall be controlled within offices and other areas located within these: drawing or map pins, metal office staples, paper clips or other metal office fastenings and hole punches?		
Where a Foreign Object Detection System is installed, are detectable versions of equipment used?		
Are detectable versions of equipment required in processing areas in use (where available), such as pens, clipboards?		
Have foreign object audits implemented and conducted? Has the frequency of audits been defined, with this frequency based on risk?		
Are findings of foreign object audits investigated with the results of the investigation and corrective actions documented?		
Does this include reported items, findings from detection systems and foreign object audits?		
Are foreign object findings documented and trended to establish any common sources and actions taken to mitigate future occurrences?		
Do investigations involve liaison with raw material suppliers where appropriate?		

12.0 Product Testing	**C/NC**	**Comments**
Has a documented Microbiological, Chemical and Heavy Metal assessment and testing program been implemented?		
Has Microbiological, Chemical, and Heavy Metal Testing been undertaken as per the requirements of the GFSI scheme (including any local regulations) and additional specified Retailer requirements and/or specifications?		
Where products are purchased from multiple growers, has testing of each supplier's produce, by product type, been completed at a minimum frequency of once per year/season, or at the frequency defined by the Retail Customer?		
If a Tier 1 Supplier, have all Tier 2 Suppliers been made aware of Retail Customer testing requirements, if over and above the GFSI scheme's (including any local regulations) requirements?		
Has testing been completed by an ISO 17025 (or equivalent) certified laboratory accredited by NATA (or equivalent) for the product category and test/s being undertaken? Have records of testing been maintained?		

Has chemical residue testing of produce destined for sale to the customer been undertaken against maximum residue limits (MRLs) as detailed in the Food Standards Code? Has MRL testing must been conducted for all Agricultural Products applied to the produce? Have records of testing been maintained?		
If microbiological, chemical or heavy metal testing indicated a breach of critical limits as per Retail Customer required limits, have all impacted Customers that have received the affected batch been notified within sixty (60) minutes of the site receiving the results? Have any notifications been by phone and followed up by email?		

13.0 Growing	**C/NC**	**Comments**
Have treated and untreated fertilisers and soil additives made from human effluent or Biosolids not been used on growing sites or potential growing sites? Was raw sewage flow into irrigation water sources not allowed?		
Has a risk assessment been conducted and documented for each growing site to ascertain the suitability for growing fresh produce? Have risk assessments been reviewed and updated when changes occurred that may have impact the likelihood or severity of the hazards?		
For businesses that purchase treated manure, have they been bought from a company where the process is certified to AS4454 Composts, Soil Conditioners and Mulches (or an international equivalent)? For businesses that treat their own manure, has the process certified to AS4454 (or an international equivalent)?		
Was green waste not introduced into the process?		
Where the harvestable part of the crop is grown in or within 1 metre of the ground surface or is harvested from the ground and the crop may be eaten uncooked, has the following processes that require an exclusion period of between 45 and 180 days been implemented: • Application or raw manure; or • Application of un-composted green waste; or • Livestock stocking?		
Are the specific exclusion periods dependent on the mean maximum growing temperature and the Fresh Produce Safety Centre Decision Trees shown in the HARPS Guidance Document?		
Where raw manure and un-composted green waste applied to growing sites, are these incorporated into the soil immediately after application, and for annual crops, prior to sowing or transplanting?		
Are storage sites for all raw manure and un-composted green waste off-site or located, constructed and maintained to minimise the risk of contaminating produce? If on-site, is storage indicated on a property map?		
Is equipment used to apply raw manure and un-composted green waste dedicated for this purpose or thoroughly cleaned and sanitised after use?		

Has a risk assessment been conducted for each in-use water source, taking potential contamination situations and the characteristics of the crop, irrigation technique and other factors into account?		
Has microbial water quality been verified at a frequency dependent upon the level of risk identified?		
Is produce that comes into contact with floodwater not sold to Retail Customers?		

14.0 Calibration and Weight Checks	**C/NC**	**Comments**
Has the frequency and method of verifying finished product weight been defined by the Retail or Tier 1 Customer? If requirements have not been defined by the Customer, do all finished products meet the minimum net label weight or volume or count at the end of shelf-life, considering weight loss over the product life?		
Is the Average Quantity System and ℮-mark only applied with written agreement by the Customer? Where the Average Quantity System is applied, do sampling plans and records demonstrate compliance?		
Are all Retailer-branded pre-packed products subject to 100% weight checks to verify labelled net weight plus required overpack using a check-weighing system? Are records kept?		
Where in-line, automated check weighers of finished product are in use, are records of weight checks for the start, middle and end of every production run for every product pack size maintained?		
For all other pre-packed supplier-branded products, when product is subject to 100% weight checks, are cross-check records kept demonstrating compliance on an hourly basis? Is the minimum net weight product subject to 100% weight check? Are cross-checks carried out on an externally certified trade measurement scale?		
For Supplier-branded pre-packed product that is not subject to 100% weight checking, are cross-check records demonstrating compliance kept every 15 minutes at a minimum? Are cross-checks carried out on an externally certified trade measurement scale?		
Do bulk products equal the weight and/or count as stated on the Customer's finished product specification and the shipper carton or crate at the time of delivery to the Customer, considering weight loss over product life, including during ripening? Are records of weight checks at the start, middle and end of each production run of each bulk carton size maintained?		
Is a procedure implemented to ensure scales and check weighers used for retail pre-packs and bulk loose product are verified for accuracy at a defined frequency? Is this no less than once per day before commencement of the production day? Are records of verification maintained?		
Are procedures in place to calculate and verify packaging tares at a suitable frequency to ensure the actual product net weight or		

volume is measured accurately? Are records of verification maintained?		
Are certified test weights used to verify scale and check weigher accuracy? Is the mass of the test weight at or slightly above the maximum weight to be measured for a product? If in-line check weighers do not allow for the use of test weights, is the certified test weight used as part of a cross reference method?		
Is a master trade measurement scale (used for pre-packing) and certified test weights externally tested and certified at a frequency recommended by the certifier? If no recommendations have been made, does this take place annually?		

15.0 Product Sold or Given to Staff	**C/NC**	**Comments**
Is customer branded product excluded from sale through staff, factory or other retail outlets unless branding is removed? Is customer branding removed completely when product is given freely to staff? If customer branding cannot be removed from staff giveaways, is customer branding defaced and / or marked as “factory second – not for sale”?		
Does all product sold or given freely to staff comply with relevant Federal and State Legislation?		
If the business wishes to donate customer branded product to a charity, has written authorisation been obtained from the customer/s prior to the donation?		
Does the business maintain a logbook which records the date of donation, product details, batch numbers, use-by or best before dates, quantities and reason for donation? (Donations that have been approved by the customer and entered into the logbook do not require removal or de-facing of branding.)		

16.0 Insurance	**C/NC**	**Comments**
Is a certificate of currency evidencing product and public liability insurance of such an amount as considered acceptable by the customer being maintained as a controlled document? Has each relevant customer confirmed any variation to this requirement in writing?		