

## Audit checklist Wholesale Fruit, Vegetables, Potatoes (regular audit)

Audit details			
Scheme participant			
QS locations audited			
Additional location information, e.g. coordinator or identification number			
Name of contact			
Regular audit	Initial audit		Follow-up audit
Unannounced regular audit	Yes		No
Parallel audit			
Date of audit (from)		Date of audit (until)	
Start of audit (hh:mm)		End of audit (hh:mm)	
Audit duration (hh:mm)			
Combined audit (norm/standard/programme)			
Certification body			
First name/surname of auditor			
Repeated D evaluation/general K.O.		Remark repeated D evaluation/general K.O.	
Comments			
<b>Preliminary audit result</b>		<b>Number of agreed corrective actions</b>	

\_\_\_\_\_  
Place, date

\_\_\_\_\_  
Signature/s of auditor/s

I hereby confirm the data concerning the company and the audit.

I have received a copy of the audit report (at least front page) and of the corrective actions report.

\_\_\_\_\_  
Place, date

\_\_\_\_\_  
Signature of person responsible

**Company details - Wholesale fruit, vegetables, potatoes**

Name of company		
Street and house number		
Postal code and town		
Telephone/fax number		
Email address		
QS location number (GH-No.)		
QS identification number		
Name of person responsible		
FIAS requested		

**Scope - Wholesale fruit, vegetables, potatoes**

Production scope		Production number
	Wholesale fruit, vegetables, potatoes (first-line merchant)	81
	Wholesale fruit, vegetables, potatoes (trading partner)	82

Company \_\_\_\_\_

Date \_\_\_\_\_

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
* = For this requirement the evidence or measurement tool used for evaluation of compliance with the QS requirement must be documented, regardless of the outcome of the assessment. # = In case of a nonconformity the corrective action for this criterion has to take place within 28 days (only valid for production and QS-GAP and FIAS!) .										
a 2 General Requirements										
a 2.1 General Scheme Requirements										
a 2.1.1	1			General Business Data						
a 2.1.2	1			Use of the QS Certification Mark						
a 2.1.3	1			Incident and Crisis Management						
a 2.1.4	1			Handling of Documents						
a 2.1.5	1			Company Premises and Access Regulations						
a 2.1.6	1			Monitoring of Test Equipment						

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 2.1.7	1		<b>D=K.O.</b>	Conducting self-assessments						
a 2.1.8	1			Completion of Corrective Actions in the Case of Nonconformity						
a 2.1.9	1			Food safety culture						
a 2.1.10	1			Commissioning of Logistics Companies/Subcontractors						
<b>a 2.2 HACCP</b>										
a 2.2.1	1		<b>D=K.O.</b>	HACCP Concept *						
a 2.2.2	1			HACCP Team						
a 2.2.3	1			Product Description						
a 2.2.4	1			Flow Chart						
a 2.2.5	1			Hazard Analysis						
a 2.2.6	1			Critical Control Points (CCP)						

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 2.2.7	1			Limit Values for CCP						
a 2.2.8	1			Monitoring and Verification of Limit Values for CCP						
a 2.2.9	1			Corrective Actions for CCP						
a 2.2.10	1			Responsibilities						
a 2.2.11	1			Records						
a 2.2.12	1			HACCP Verification						
<b>a 2.3 Good Hygiene Practice</b>										
a 2.3.1	1			Water Quality						
a 2.3.2	1			Cleaning and Disinfection						
a 2.3.3	1			Pest Control						
a 2.3.4	1			Foreign Substance Management						

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 2.3.5	1		<b>D=K.O.</b>	Risk of Contamination *						
<b>a 2.4 Technical/structural condition</b>										
<b>a 2.5 Room, equipment and plant hygiene</b>										
<b>a 2.6 Ground clearance</b>										
<b>a 2.7 Staff Hygiene</b>										
a 2.7.1	1			General Rules of Conduct						
a 2.7.2	1			Staff Rooms and Sanitary Facilities						
<b>a 2.8 Training of Staff</b>										
a 2.8.1	1		<b>D=K.O.</b>	Hygiene Training						
a 2.8.2	1			Information on the QS Scheme						
a 2.8.3	1			General Training						

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
<b>a 3 Process-Specific Requirements</b>										
<b>a 3.1 Incoming Goods</b>										
a 3.1.1	1			Technical/Structural Condition						
a 3.1.2	1			Room, Equipment and Plant Hygiene						
a 3.1.3	1			Ground Clearance						
a 3.1.4	1			Order and Organisation						
a 3.1.5	1			Transport Vehicles Delivery						
a 3.1.6	1			Incoming Goods Inspection						
a 3.1.7	1		<b>D=K.O.</b>	Labelling of purchased QS Produce *						
a 3.1.8	1		<b>D=K.O.</b>	Product Temperature						
a 3.1.9	1			Returns Management						

Require ment no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.1.10	1			Complaints Management						
a 3.1.11	1			Quality Requirements *						
a 3.1.12	1			Hygiene Requirements						
a 3.1.13	1			Product Labelling						
a 3.1.14	1			Labelling of QS Produce with an Identification Number						
<b>a 3.2 Storage</b>										
a 3.2.1	1			Technical/Structural Condition						
a 3.2.2	1			Room, Equipment and Plant Hygiene						
a 3.2.3	1			Ground Clearance						
a 3.2.4	1			Stock Management						
a 3.2.5	1			Best-before date						



Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.2.6	1			Prerequisite for Maintaining Quality						
<b>a 3.3 Cold Storage Rooms</b>										
a 3.3.1	1			Technical/Structural Condition						
a 3.3.2	1			Room, Equipment and Plant Hygiene						
a 3.3.3	1			Ground Clearance						
a 3.3.4	1			Stock Management						
a 3.3.5	1		<b>D=K.O.</b>	Temperature Recording and Monitoring						
a 3.3.6	1		<b>D=K.O.</b>	Best-before date/Use-by date						
a 3.3.7	1			Prerequisite for Maintaining Quality						
<b>a 3.4 Frozen storage rooms</b>										
a 3.4.1	1			Technical/structural condition						

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.4.2	1			Room, equipment and plant hygiene						
a 3.4.3	1			Ground clearance						
a 3.4.4	1			Stock management						
a 3.4.5	1		<b>D=K.O.</b>	Temperature recording and monitoring						
a 3.4.6	1		<b>D=K.O.</b>	Best-before date						
<b>a 3.5 Packaging/Redistribution</b>										
a 3.5.1	1			Technical/Structural Condition						
a 3.5.2	1			Room, Equipment and Plant Hygiene						
a 3.5.3	1			Ground Clearance						
a 3.5.4	1			Packaging Material						
a 3.5.5	1		<b>D=K.O.</b>	Declaration of Conformity/Declaration of no Objection *						

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.5.6	1			Storage of Packaged Goods						
a 3.5.7	1			Storage/Transport Containers for Products						
a 3.5.8	1		<b>D=K.O.</b>	Temperature recording and monitoring *						
<b>a 3.6 Order Picking, Outgoing Goods/Shipping</b>										
a 3.6.1	1			Technical/Structural Condition						
a 3.6.2	1			Room, Equipment and Plant Hygiene						
a 3.6.3	1			Ground Clearance						
a 3.6.4	1			Order and Organisation						
a 3.6.5	1		<b>D=K.O.</b>	Inspection of Outgoing Goods						
a 3.6.6	1		<b>D=K.O.</b>	Labelling of marketed QS Produce *						
a 3.6.7	1		<b>D=K.O.</b>	Product Temperature						

Require ment no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.6.8	1			Product Labelling						
a 3.6.9	1			Labelling of QS Produce with an Identification Number						
<b>a 3.7 Other Business Premises</b>										
a 3.7.1	1			Packaging Material Storage						
a 3.7.2	1			Storage of Cleaning Agents and Disinfectants						
a 3.7.3	1			Waste disposal logistics						
<b>a 3.8 Transport/Logistics</b>										
a 3.8.1	1			Product-compliant Transport						
a 3.8.2	1			Transport Hygiene						
a 3.8.3	1		<b>D=K.O.</b>	Temperature Control *						
a 3.8.4	1			Ground clearance						

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
<b>a 3.9 Treatment</b>										
a 3.9.1	1			Treatment and Sorting						
a 3.9.2	1		<b>D=K.O.</b>	Post-Harvest Treatment and Sprout Suppressants *						
<b>a 3.10 Product-Specific Criteria for the Storage of Potatoes</b>										
a 3.10.1	1			Suitability of Warehouse						
a 3.10.2	1			Suitability of the Equipment for Incoming and Outgoing Goods						
a 3.10.3	1			Suitability of Preparation and Packaging Systems and Cleaning						
<b>a 3.11 Residue Monitoring</b>										
a 3.11.1	1			Organisation of the Residue Monitoring						
a 3.11.2	1		<b>D=K.O.</b>	Implementation of the Residue Monitoring						
<b>a 4 Traceability and Origin of Goods</b>										

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
<b>a 4.1 Methods and Control of Traceability</b>										
a 4.1.1	1		<b>D=K.O.</b>	Methods of Traceability						
a 4.1.2	1		<b>D=K.O.</b>	Separation and Identification of QS Produce/Non-QS Produce						
a 4.1.3	1		<b>D=K.O.</b>	Traceability Check *						
a 4.1.4	1		<b>D=K.O.</b>	Reconciliation of Incoming Goods with Outgoing Goods *						
a 4.1.5	1		<b>D=K.O.</b>	Check on QS eligibility of Delivery						
<b>y 2 FIN - Nachhaltigkeitsmanagementsystem</b>										
<b>y 2.1 Allgemeine Anforderungen</b>										
y 2.1.1	1			Anwendungsbereich des Nachhaltigkeitsmanagementsystems						
y 2.1.2	1			Selbstverpflichtung der Unternehmensleitung						
y 2.1.3	1			Nachhaltigkeitspolitik						

Require ment no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
y 2.1.4	1			Nachhaltigkeitscheck						
y 2.1.5	1			Nachhaltigkeitsziele						
<b>y 2.2 Organisation</b>										
y 2.2.1	1			Personelle Ressourcen						
y 2.2.2	1			Kommunikationsplan						
y 2.2.3	1			Nachhaltigkeit in der Lieferkette						
y 2.2.4	1			Neu- und Weiterentwicklung						
y 2.2.5	1			Ereignismanagement						
<b>y 2.3 Monitoring und Verbesserung</b>										
y 2.3.1	1			Interne Audits						
y 2.3.2	1			Managementbewertung						

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
<b>z 1.0 Combined audit Chain of Custody</b>										
z 1.1	1			Combined audit Chain of Custody						



Company \_\_\_\_\_

Date zum: \_\_\_\_\_

Require- ment no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D	E	Comments/corrective action number
* = For this requirement the evidence or measurement tool used for evaluation of compliance with the QS requirement must be documented, regardless of the outcome of the assessment.										
<b>d 2 Anforderungen FIAS</b>										
d 2.1.1	1			Durchführung und Dokumentation der Eigenkontrolle #						
d 2.1.2	1			Umsetzung eingeleiteter Maßnahmen aus der Eigenkontrolle #						
d 2.1.3	1			Arbeitnehmersvertretung #						
d 2.1.4	1			Beschwerdeverfahren #						
d 2.1.5	1			Einhaltung der ILO-Kernarbeitsnormen #						
d 2.1.6	1			Arbeitnehmerinformation #						
d 2.1.7	1			Arbeitsverträge/schriftlich fixierte Arbeitsbedingungen #						
d 2.1.8	1			Regelmäßige Lohnzahlungen #						
d 2.1.9	1			Arbeitsentgelt #						
d 2.1.10	1			Beschäftigung von Kindern und Jugendlichen #						
d 2.1.11	1			Pflichtschulbildung #						
d 2.1.12	1			Arbeitszeiterfassung #						

Requirement no.	Factor	Filter <sup>1</sup>		Criterion/ requirement	A	B	C	D	E	Comments/corrective action number
d 2.1.13	1			Arbeit- und Ruhezeiten #						
d 2.1.14	1			Pausen- und Bereitschaftsräume #						
d 2.1.15	1			Umkleidemöglichkeiten #						
d 2.1.16	1			Aufbewahrungsmöglichkei- ten #						
d 2.1.17	1			Unterbringung der Arbeitskräfte #						

Company \_\_\_\_\_ Date \_\_\_\_\_

### Calculation of audit result

#### 1. Balance of subtotals

Calculation	A	B	C	D	E
(1) Number of evaluations					
<b>Sum of evaluations (excluding E evaluations)</b>					

#### 2. Calculation of the proportion of C and D evaluations\*

<b>Proportion of C evaluations</b>		(Number of C evaluations / sum of evaluations ) * 100
<b>Proportion of D evaluations</b>		(Number of D evaluations / sum of evaluations ) * 100
<b>Proportion of C and D evaluations</b>		Proportion of C + proportion of D

#### 3. Preliminary audit result

		Percentage of C evaluations	Percentage of D evaluations	Percentage of C+D evaluations	Audit result
<p><b>*Status I:</b> If the 5 % target is exceeded, status I will still be assigned if there is only one C-evaluation. <b>**Status II:</b> If the percentage with regard to the proportion of D evaluations is exceeded, status II is assigned if only one D evaluation exists and no C evaluation</p>		max. 5,0%	0,0%		<b>QS-Status I*</b>
		max. 10,0%	max. 3,0%	max. 10%	<b>QS-Status II**</b>
		max. 20%	max. 10%	max. 20%	<b>QS-Status III</b>
	Percentages exceeded	<b>Audit not passed.</b>			
<b>Number of K.O.</b>	K.O.	<b>Audit not passed.</b>			
	General K.O./ repeated D evaluation	<b>Audit not passed.</b>			

**Company:**

**Date:**

**Corrective actions report**

I hereby confirm that the following corrective actions were agreed upon between me and the auditor.

The certification body is to be informed no later than the expiry of the deadline set out in the action plan about the implementation of a corrective action.

Note: The correction deadline is a maximum of 28 days for all FIAS requirements and the documentation requirements: 2.1.1, 2.1.2, 3.4.1 und 3.9.5 (only valid for production!)

Place, date

Signature/s of auditor/s

Signature of person responsible

Serial no.	Requirement No.	Evaluation (C, D/K.O.)	Description of nonconformity	Agreed corrective actions	Scope	Deadline for correction
1						

**Company:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Review of the implementation of corrective actions**

Place, date

Signature/s of auditor/s

Serial no.	Implemented	Not implemented	Comments (if any)	Date
1				

**Delivery note to be verified**

Delivery note date	Delivery note number	Location	Inspected