Audit checklist Wholesale Fruit, Vegetables, Potatoes (Spotaudit)

Audit details				
Scheme participant				
QS locations audited				
Additional location information, e.g. coordinators or identification number				
Name of contact				
Spotaudit	X			
Random sample audit				
Audit of special purpose				
Parallel audit				
Date of audit (from)			Date of audit (until)	
Start of audit (hh:mm)			Ende of audit (hh:mm)	
Audit duration (hh:mm)				
Combined audit (norm/standard/programme)				
Certification body				
First name/surename of auditor				
Repeated D evaluation/general K.O.		Remark repeated D evaluation/general K.O.		
Comments				
Preliminary audit results			**Number of agreed corrective actions**	

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[1]		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					X	
a 2.1.2	1			Use of the QS Certification Mark					X	
a 2.1.3	1			Incident and Crisis Management					X	
a 2.1.4	1			Handling of Documents					X	
a 2.1.5 SPOT	1			Company Premises and Access Regulations						
a 2.1.6	1			Monitoring of Test Equipment					X	
a 2.1.7	1		**D=K.O.**	Conducting self-assessments					X	
a 2.1.8	1			Completion of Corrective Actions in the Case of Nonconformity					X	
a 2.1.9	1			Food safety culture					X	
a 2.1.10	1			Commissioning of Logistics Companies/Subcontractors					X	
a 2.2	**HACCP**									

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 2.2.1	1		**D=K.O.**	HACCP Concept *					X	
a 2.2.2	1			HACCP Team					X	
a 2.2.3	1			Product Description					X	
a 2.2.4	1			Flow Chart					X	
a 2.2.5	1			Hazard Analysis					X	
a 2.2.6	1			Critical Control Points (CCP)					X	
a 2.2.7	1			Limit Values for CCP					X	
a 2.2.8	1			Monitoring and Verification of Limit Values for CCP					X	
a 2.2.9	1			Corrective Actions for CCP					X	
a 2.2.10	1			Responsibilities					X	
a 2.2.11	1			Records					X	
a 2.2.12	1			HACCP Verification					X	
a 2.3	**Good Hygiene Practice**									
a 2.3.1	1			Water Quality					X	
a 2.3.2	1			Cleaning and Disinfection					X	
a 2.3.3 SPOT	1			Pest Control						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 2.3.4 SPOT	1			Foreign Substance Management						
a 2.3.5 SPOT	1		**D=K.O.**	Risk of Contamination *						
a 2.4	**Technical/structural condition**									
a 2.5	**Room, equipment and plant hygiene**									
a 2.6	**Ground clearance**									
a 2.7	**Staff Hygiene**									
a 2.7.1 SPOT	1			General Rules of Conduct						
a 2.7.2	1			Staff Rooms and Sanitary Facilities					X	
a 2.8	**Training of Staff**									
a 2.8.1	1		**D=K.O.**	Hygiene Training					X	
a 2.8.2	1			Information on the QS Scheme					X	
a 2.8.3	1			General Training					X	
a 3	**Process-Specific Requirements**									
a 3.1	**Incoming Goods**									
a 3.1.1	1			Technical/Structural Condition					X	
a 3.1.2 SPOT	1			Room, Equipment and Plant Hygiene						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.1.3 SPOT	1			Ground Clearance						
a 3.1.4 SPOT	1			Order and Organisation						
a 3.1.5 SPOT	1			Transport Vehicles Delivery						
a 3.1.6 SPOT	1			Incoming Goods Inspection						
a 3.1.7 SPOT	1		**D=K.O.**	Labelling of purchased QS Produce *						
a 3.1.8 SPOT	1		**D=K.O.**	Product Temperature						
a 3.1.9	1			Returns Management					X	
a 3.1.10	1			Complaints Management					X	
a 3.1.11	1			Quality Requirements *					X	
a 3.1.12	1			Hygiene Requirements					X	
a 3.1.13	1			Product Labelling					X	
a 3.1.14 SPOT	1			Labelling of QS Produce with an Identification Number						
a 3.2	**Storage**									
a 3.2.1	1			Technical/Structural Condition					X	
a 3.2.2 SPOT	1			Room, Equipment and Plant Hygiene						
a 3.2.3 SPOT	1			Ground Clearance						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.2.4 SPOT	1			Stock Management						
a 3.2.5 SPOT	1			Best-before date						
a 3.2.6 SPOT	1			Prerequisite for Maintaining Quality						
a 3.3	**Cold Storage Rooms**									
a 3.3.1	1			Technical/Structural Condition					X	
a 3.3.2 SPOT	1			Room, Equipment and Plant Hygiene						
a 3.3.3 SPOT	1			Ground Clearance						
a 3.3.4 SPOT	1			Stock Management						
a 3.3.5 SPOT	1		**D=K.O.**	Temperature Recording and Monitoring						
a 3.3.6 SPOT	1		**D=K.O.**	Best-before date/Use-by date						
a 3.3.7 SPOT	1			Prerequisite for Maintaining Quality						
a 3.4	**Frozen storage rooms**									
a 3.4.1	1			Technical/structural condition					X	
a 3.4.2 SPOT	1			Room, equipment and plant hygiene						
a 3.4.3 SPOT	1			Ground clearance						
a 3.4.4 SPOT	1			Stock management						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.4.5 SPOT	1		**D=K.O.**	Temperature recording and monitoring						
a 3.4.6 SPOT	1		**D=K.O.**	Best-before date						
a 3.5	**Packaging/Redistribution**									
a 3.5.1	1			Technical/Structural Condition					X	
a 3.5.2 SPOT	1			Room, Equipment and Plant Hygiene						
a 3.5.3 SPOT	1			Ground Clearance						
a 3.5.4 SPOT	1			Packaging Material						
a 3.5.5	1		**D=K.O.**	Declaration of Conformity/Declaration of no Objection *					X	
a 3.5.6 SPOT	1			Storage of Packaged Goods						
a 3.5.7	1			Storage/Transport Containers for Products					X	
a 3.5.8 SPOT	1		**D=K.O.**	Temperature recording and monitoring *						
a 3.6	**Order Picking, Outgoing Goods/Shipping**									
a 3.6.1	1			Technical/Structural Condition					X	
a 3.6.2 SPOT	1			Room, Equipment and Plant Hygiene						
a 3.6.3 SPOT	1			Ground Clearance						
a 3.6.4 SPOT	1			Order and Organisation						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.6.5 SPOT	1		**D=K.O.**	Inspection of Outgoing Goods						
a 3.6.6 SPOT	1		**D=K.O.**	Labelling of marketed QS Produce *						
a 3.6.7 SPOT	1		**D=K.O.**	Product Temperature						
a 3.6.8 SPOT	1			Product Labelling						
a 3.6.9 SPOT	1			Labelling of QS Produce with an Identification Number						
a 3.7	**Other Business Premises**									
a 3.7.1 SPOT	1			Packaging Material Storage						
a 3.7.2 SPOT	1			Storage of Cleaning Agents and Disinfectants						
a 3.7.3	1			Waste disposal logistics					X	
a 3.8	**Transport/Logistics**									
a 3.8.1	1			Product-compliant Transport					X	
a 3.8.2 SPOT	1			Transport Hygiene						
a 3.8.3	1		**D=K.O.**	Temperature Control *					X	
a 3.8.4 SPOT	1			Ground clearance						
a 3.9	**Treatment**									
a 3.9.1	1			Treatment and Sorting					X	

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.9.2	1		**D=K.O.**	Post-Harvest Treatment and Sprout Suppressants *					X	
a 3.10	**Product-Specific Criteria for the Storage of Potatoes**									
a 3.10.1	1			Suitability of Warehouse					X	
a 3.10.2	1			Suitability of the Equipment for Incoming and Outgoing Goods					X	
a 3.10.3	1			Suitability of Preparation and Packaging Systems and Cleaning					X	
a 3.11	**Residue Monitoring**									
a 3.11.1	1			Organisation of the Residue Monitoring					X	
a 3.11.2	1		**D=K.O.**	Implementation of the Residue Monitoring					X	
a 4	**Traceability and Origin of Goods**									
a 4.1	**Methods and Control of Traceability**									
a 4.1.1	1		**D=K.O.**	Methods of Traceability					X	
a 4.1.2 SPOT	1		**D=K.O.**	Separation and Identification of QS Produce/Non-QS Produce						
a 4.1.3 SPOT	1		**D=K.O.**	Traceability Check *						
a 4.1.4 SPOT	1		**D=K.O.**	Reconciliation of Incoming Goods with Outgoing Goods *						
a 4.1.5 SPOT	1		**D=K.O.**	Check on QS eligibility of Delivery						
y 2	**FIN - Nachhaltigkeitsmanagementsystem**									

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
y 2.1	**Allgemeine Anforderungen**									
y 2.1.1	1			Anwendungsbereich des Nachhaltigkeitsmanagementsystems					X	
y 2.1.2	1			Selbstverpflichtung der Unternehmensleitung					X	
y 2.1.3	1			Nachhaltigkeitspolitik					X	
y 2.1.4	1			Nachhaltigkeitscheck					X	
y 2.1.5	1			Nachhaltigkeitsziele					X	
y 2.2	**Organisation**									
y 2.2.1	1			Personelle Ressourcen					X	
y 2.2.2	1			Kommunikationsplan					X	
y 2.2.3	1			Nachhaltigkeit in der Lieferkette					X	
y 2.2.4	1			Neu- und Weiterentwicklung					X	
y 2.2.5	1			Ereignismanagement					X	
y 2.3	**Monitoring und Verbesserung**									
y 2.3.1	1			Interne Audits					X	
y 2.3.2	1			Managementbewertung					X	
z 1.0	**Combined audit Chain of Custody**									

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
z 1.1 SPOT	1			Combined audit Chain of Custody						

Company _____ Date :um: _____

Requirement no.	Factor	Filter[1]		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.**										
d 2	**Anforderungen FIAS**									
d 2.1.1	1			Durchführung und Dokumentation der Eigenkontrolle #					X	
d 2.1.2	1			Umsetzung eingeleiteter Maßnahmen aus der Eigenkontrolle #					X	
d 2.1.3	1			Arbeitnehmervertretung #					X	
d 2.1.4	1			Beschwerdeverfahren #					X	
d 2.1.5	1			Einhaltung der ILO-Kernarbeitsnormen #					X	
d 2.1.6	1			Arbeitnehmerinformation #					X	
d 2.1.7	1			Arbeitsverträge/schriftlich fixierte Arbeitsbedingungen #					X	
d 2.1.8	1			Regelmäßige Lohnzahlungen #					X	
d 2.1.9	1			Arbeitsentgelt #					X	
d 2.1.10	1			Beschäftigung von Kindern und Jugendlichen #					X	
d 2.1.11	1			Pflichtschulausbildung #					X	
d 2.1.12	1			Arbeitszeiterfassung #					X	

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D	E	Comments/corrective action number
d 2.1.13	1			Arbeit- und Ruhezeiten #					X	
d 2.1.14 SPOT	1			Pausen- und Bereitschaftsräume #						
d 2.1.15	1			Umkleidemöglichkeiten #					X	
d 2.1.16	1			Aufbewahrungsmöglichkeiten #					X	
d 2.1.17 SPOT	1			Unterbringung der Arbeitskräfte #					X	

Company _____ **Date** _____

Calculation of audit result

1. Balance of subtotals

Calculation	A	B	C	D	E
(1) Number of evaluations					

Sum of evaluations (excluding E evaluations)	

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

Proportion of C evaluations		(Number of C evaluations / sum of evaluations)*100
Proportion of D evaluations		(Number of D evaluations / sum of evaluations)*100
Proportion of C and D evaluations		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
	max. 5,0%	0,0%		**QS-Status I***
	max. 10,0%	max. 3,0%	max. 10%	**QS-Status II****
	max. 20%	max. 10%	max. 20%	**QS-Status III**
Percentages exceeded	**Audit not passed.**			
K.O.	**Audit not passed.**			
General K.O./ repeated D evaluation	**Audit not passed.**			

***Status I:** If the 5 % target is exceeded, status I will still be assigned if there is only one C-evaluation. ****Status II:** 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

Number of K.O.	

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.	Require-ment 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