

Audit checklist Preparation/Processing Fruit, Vegetables, Potatoes (Spotaudit)

Audit details			
Scheme participant			
QS locations audited			
Additional location information, e.g. inspected production scope , 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/surname 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 details - Preparation/processing 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 - Preparation/processing fruit, vegetables, potatoes

Production scope		Production number
	Preparation/processing	85

Preparation/processing

Preparation/processing processes	
	freezing
	heating
	preparation
	sprout production
	canned food production

Company _____

Date _____

Require ment no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
<p>* = 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, food retail, QS-GAP and FIAS!) .</p>										
2 General Requirements										
2.1 General Scheme Requirements										
2.1.1	1	,		General Business Data					X	
2.1.2	1	,		Use of the QS Certification Mark					X	
2.1.3	1	,		Incident and Crisis Management					X	
2.1.4	1	,		Handling of Documents					X	
2.1.5 SPOT	1	,		Company Premises and Access Regulations						
2.1.6	1	,		Food safety culture					X	
2.1.7	1	,		Commissioning of Logistics Companies/Subcontractors					X	
2.2 Self-Assessment										
2.2.1	1	,	D=K.O.	Conducting Self-Assessments					X	
2.2.2	1	,		Completion of Corrective Actions in the Case of Nonconformity					X	
2.3 HACCP										

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
2.3.1	1	,	D=K.O.	HACCP Concept					X	
2.3.2	1	,		HACCP Team					X	
2.3.3	1	,		Product Description					X	
2.3.4	1	,		Flow Chart					X	
2.3.5	1	,		Hazard Analysis					X	
2.3.6	1	,		Critical Control Points (CCP)					X	
2.3.7	1	,		Limit Values for CCP					X	
2.3.8	1	,		Monitoring and Verification of Limit Values for CCP					X	
2.3.9	1	,		Corrective Actions for CCP					X	
2.3.10	1	,		Responsibilities					X	
2.3.11	1	,		Records					X	
2.3.12	1	,		HACCP Verification					X	
2.4 Good Manufacturing and Hygiene Practice										
2.4.1	1	,		Water Quality					X	
2.4.2	1	,		Cleaning and Disinfection					X	
2.4.3 SPOT	1	,		Pest Control						

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
2.4.4 SPOT	1	,		Handling of Deviating Products						
2.4.5	1	,		Monitoring of Test Equipment					X	
2.4.6 SPOT	1	,	D=K.O.	Risk of Contamination						
2.4.7	1	,		Recipes					X	
2.4.8	1	,		Specifications					X	
2.4.9	1	,		Access to Preparation and Processing Rooms					X	
2.4.10 SPOT	1	,		Containers for Storage and Transport						
2.5 Technical/structural condition										
2.6 Room, equipment and plant hygiene										
2.7 Ground clearance										
2.8 Staff Hygiene										
2.8.1 SPOT	1	,		General Rules of Conduct						
2.8.2	1	,		Staff Rooms and Sanitary Facilities					X	
2.8.3	1	,		Hygiene Sluice					X	
2.9 Training of Staff										
2.9.1	1	,	D=K.O.	Hygiene Training/ Protection against Infection Act					X	

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
2.9.2	1	,		Information on the QS Scheme					X	
2.9.3	1	,		General Training					X	
2.10 Cold Storage Rooms										
2.10.1	1	,		Technical/Structural Condition					X	
2.10.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
2.10.3 SPOT	1	,		Ground Clearance						
2.10.4 SPOT	1	,		Stock Management						
2.10.5 SPOT	1	,	D=K.O.	Temperature Recording and Monitoring						
2.10.6 SPOT	1	,	D=K.O.	Best-before date/Use-by date						
2.10.7 SPOT	1	,		Prerequisite for Maintaining Quality						
2.11 Frozen Storage Rooms										
2.11.1	1	,		Technical/Structural Condition					X	
2.11.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
2.11.3 SPOT	1	,		Ground Clearance						
2.11.4 SPOT	1	,		Stock Management						
2.11.5 SPOT	1	,	D=K.O.	Temperature Recording and Monitoring *						

Require ment no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
2.11.6 SPOT	1	,	D=K.O.	Best-before date						
2.12 Storage										
2.12.1	1	,		Technical/Structural Condition					X	
2.12.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
2.12.3 SPOT	1	,		Ground Clearance						
2.12.4 SPOT	1	,		Stock Management						
2.12.5 SPOT	1	,		Best-before date						
2.12.6 SPOT	1	,		Prerequisite for Maintaining Quality						
3 Requirements for Preparation and Processing										
3.1 General Process Requirements										
3.1.1	1	,		Best-before Date/Use-by Date					X	
3.1.2	1	,	D=K.O.	Microbiological Testing in the Operational Facility					X	
3.1.3	1	,	D=K.O.	Microbiological Monitoring of the Products					X	
3.1.4	1	,	D=K.O.	Temperature Recording and Monitoring					X	
3.2 Requirements for the Preparation Process										
3.2.1	1	,		Technical/Structural Condition					X	

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
3.2.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
3.2.3 SPOT	1	,		Ground Clearance						
3.2.4	1	,		Order and Organisation					X	
3.2.5	1	,	D=K.O.	Compliance with Temperature Stipulations					X	
3.3 Requirements for the Freezing Process										
3.3.1	1	,		Technical/Structural Condition					X	
3.3.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
3.3.3 SPOT	1	,		Ground Clearance						
3.3.4	1	,		Order and Organisation					X	
3.3.5	1	,	D=K.O.	Registration of Temperature					X	
3.4 Requirements for the Heating Process										
3.4.1	1	,		Technical/Structural Condition					X	
3.4.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
3.4.3 SPOT	1	,		Ground Clearance						
3.4.4	1	,		Order and Organisation					X	
3.4.5	1	,	D=K.O.	Registration of Heating and Cooking Temperature					X	

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
3.5 Requirements for Canning Production										
3.5.1	1	,		Technical/Structural Condition					X	
3.5.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
3.5.3 SPOT	1	,		Ground Clearance						
3.5.4	1	,		Order and Organisation					X	
3.5.5	1	,	D=K.O.	Food Preservation					X	
3.5.6	1	,		Requirements for Containers (Tins)					X	
3.6 Requirements for Sprout Production										
3.6.1	1	,		Technical/Structural Condition					X	
3.6.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
3.6.3 SPOT	1	,		Ground Clearance						
3.6.4	1	,		Order and Organisation					X	
3.6.5	1	,	D=K.O.	Official Approval of Companies that produce Sprouts					X	
3.6.6	1	,		Quality of Cultivation Water					X	
3.6.7	1	,	D=K.O.	Traceability					X	
3.6.8	1	,		Transport Receptables/Containers					X	

Require ment no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
4 Packing and other Business Premises										
4.1 Packaging/Redistribution										
4.1.1	1	,		Technical/Structural Condition					X	
4.1.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
4.1.3 SPOT	1	,		Ground Clearance						
4.1.4 SPOT	1	,		Packaging Material						
4.1.5	1	,	D=K.O.	Declaration of Conformity/Declaration of no Objection					X	
4.1.6 SPOT	1	,		Storage of Packaged Goods						
4.1.7	1	,		Storage/Transport Containers for Products					X	
4.1.8 SPOT	1	,	D=K.O.	Temperature recording and monitoring *						
4.2 Other Business Premises										
4.2.1 SPOT	1	,		Packaging Material Storage						
4.2.2 SPOT	1	,		Storage of Cleaning Agents and Disinfectants						
4.2.3	1	,		Waste Disposal Logistics					X	
5 Incoming and Outgoing Goods, Labelling, Use of the Certification Mark, Traceability and Transport										
5.1 Incoming Goods										

Require ment no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
5.1.1	1	,		Technical/Structural Condition					X	
5.1.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
5.1.3 SPOT	1	,		Ground Clearance						
5.1.4 SPOT	1	,		Order and Organisation						
5.1.5 SPOT	1	,		Transport Vehicles Delivery						
5.1.6 SPOT	1	,		Incoming Goods Inspection						
5.1.7 SPOT	1	,	D=K.O.	Labelling of purchased QS Produce *						
5.1.8 SPOT	1	,	D=K.O.	Product Temperature						
5.1.9	1	,		Quality Requirements					X	
5.1.10	1	,		Hygiene Requirements					X	
5.1.11	1	,		Product Labelling					X	
5.1.12 SPOT	1	,		Labelling of QS Produce with an Identification Number						
5.2 Outgoing Goods and Returns Management										
5.2.1	1	,		Technical/Structural Condition					X	
5.2.2 SPOT	1	,		Room, Equipment and Plant Hygiene						
5.2.3 SPOT	1	,		Ground Clearance						

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
5.2.4 SPOT	1	,	D=K.O.	Outgoing Goods Inspection						
5.2.5 SPOT	1	,	D=K.O.	Labelling of marketed QS Produce *						
5.2.6 SPOT	1	,	D=K.O.	Final Product Inspection						
5.2.7	1	,		Complaints an objections					X	
5.2.8	1	,		Returns Management					X	
5.2.9 SPOT	1	,		Order and Organisation						
5.2.10 SPOT	1	,	D=K.O.	Product Labelling						
5.2.11 SPOT	1	,		Labelling of QS Produce with an Identification Number						
5.2.12 SPOT	1	,	D=K.O.	Product Temperature						
5.2.13 SPOT	1	,	D=K.O.	Temperature Recording and Monitoring						
5.3 Traceability and Origin of Goods										
5.3.1	1	,	D=K.O.	Methods of Traceability					X	
5.3.2 SPOT	1	,	D=K.O.	Traceability Check *						
5.3.3 SPOT	1	,	D=K.O.	Reconciliation of Incoming Goods with Outgoing Goods *						
5.3.4 SPOT	1	,	D=K.O.	Check on QS eligibility of Delivery						
5.3.5 SPOT	1	,	D=K.O.	Separation and Identification of QS Produce/Non-QS Produce						

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
5.4 Transport/Logistics										
5.4.1	1	,		Product-compliant transport					X	
5.4.2 SPOT	1	,		Transport Hygiene						
5.4.3	1	,	D=K.O.	Temperature Control					X	
5.4.4 SPOT	1	,		Ground clearance						
6 Further Process Requirements										
6.1 Product-Specific Criteria for the Storage of Potatoes										
6.1.1	1	,		Suitability of Warehouse					X	
6.1.2	1	,		Suitability of the Equipment for Incoming and Outgoing Goods					X	
6.1.3	1	,		Suitability of Preparation and Packaging Systems and Cleaning					X	
6.2 Treatment										
6.2.1	1	,		Treatment and Sorting					X	
6.2.2	1	,	D=K.O.	Post-Harvest Treatment and Sprout Suppressants					X	
7 Residue Monitoring										
7.1 Organisation and Implementation of the Residue Monitoring										
7.1.1	1	,		Organisation of the Residue Monitoring					X	

Require ment no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
7.1.2	1	,	D=K.O.	Implementation of the Residue Monitoring					X	
D 1 Additional Module										
D 2.1 General scheme requirements										
D 2.1.1	1	,		Use of the QS certification mark					X	
D 2.2 Good Manufacturing and hygiene practises										
D 2.2.1	1	,	D=K.O.	Recipes / Specifications					X	
D 2.3 Technical/structural condition										
D 2.4 Premises, facility and device hygiene										
D 2.5 Ground clearence										
D 3.1 Requirements for the production process										
D 3.1.1	1	,		best-before date/use-by date					X	
D 4.1 Silo storage										
D 4.1.1 SPOT	1	,		Silo storage					X	
D 4.1.2 SPOT	1	,		Technical/structural condition					X	
D 4.1.3 SPOT	1	,		Premises, facility and device hygiene					X	
D 5.1 Tank storage										

Require ment no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
D 5.1.1 SPOT	1	,		Tank storage					X	
D 5.1.2 SPOT	1	,		Technical/structural condition					X	
D 5.1.3 SPOT	1	,		Premises, facility and device hygiene					X	
D 6.1 Preparation and Processing										
D 6.1.1 SPOT	1	,		Technical/structural condition					X	
D 6.1.2 SPOT	1	,		Premises, facility and device hygiene					X	
D 6.1.3 SPOT	1	,		Bodenfreiheit					X	
D 6.1.4 SPOT	1	,		Organistaion and workflows					X	
D 7.1 Processing of semi-finished products, partial products, components										
D 7.1.1 SPOT	1	,		Technical/structural condition					X	
D 7.1.2 SPOT	1	,		Premises, facility and device hygiene					X	
D 7.1.3 SPOT	1	,		Ground clearence					X	
D 7.1.4 SPOT	1	,		Organistaion and workflows					X	
D 8.1 Further processing										
D 8.1.1 SPOT	1	,		Technical/structural condition					X	
D 8.1.2 SPOT	1	,		Premises, facility and device hygiene					X	

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
D 8.1.3 SPOT	1	,		Ground clearence					X	
D 8.1.4 SPOT	1	,		Organistaion and workflows					X	

Company _____

Date: _____

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 der eingeleiteten Maßnahmen aus der Eigenkontrolle #					X	
d 2.1.3	1			Arbeitnehmersvertretung #					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			Aufbewahrungsmöglichkei- ten #					X	
d 2.1.17 SPOT	1			Unterbringung der Arbeitskräfte #						

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		
<p>*Status I: If the 5 % target is exceeded, status I will still be assigned if there are only 2 C-evaluations.</p> <p>**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</p>		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		
<table border="1"> <tr> <td>Number of K.O.</td> <td></td> </tr> </table>		Number of K.O.		Percentages exceeded	Audit not passed.		
Number of K.O.							
		K.O.	Audit not passed.				
		General K.O./ repeated D evaluation	Audit not passed.				

Company: _____ Date: _____

Preliminary result working and social conditions

1. Calculation of final audit result (FAR) working and social conditions

Evaluation	Number	Points per evaluation	Total number of evaluations multiplied by points
A (completely fulfilled)		100	
B (almost completely fulfilled)		75	
C (partially fulfilled)		50	
D (not fulfilled)		0	0
E (not applicable)		0	0
Number of evaluations (A-D)	$\Sigma (1) =$	Sum of all products	$\Sigma (2) =$
Sum of all products divided by number of evaluations (excluding E evaluations) Final audit result = $\Sigma (2) / \Sigma (1)$		Final audit result of 100	

2. Preliminary audit result

Audit result	
Score achieved $\geq 70\%$	Passed
Score achieved $< 70\%$	Failed
K.O. evaluation	Failed
General K.O./ Repeated D evaluation	Failed

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, 3.5.1 and 3.9.5 (only valid for production, food retail, QS-GAP and FIAS!)

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