Audit checklist Agriculture Cattle Pig/Crop Farming (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/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 - Crop farming, grassland use, forage production

Name of company	
Street and house number	
Postal code and town	
Telephone/fax number	
Email address	
QS location number (company no. from the area payment request)	
Registered production scope no.	
QS identification number	
Name of person responsible	
Name of coordinator	

Scope - Crop farming, grassland use, forage production

Production scope		**Production number**
Crop farming		
	Cereal production	7001
	Oilseed production	7002
	Legume production	7004
	Sugar beet production	7008
	Corn production	7016
	Potato production (without food potatoes)	7032
Grassland use and forage production		
	Grassland use and forage production	7064

Company details - Cattle farming

Name of company	
Street and house number	
Postal code and town	
Telephone/fax number	
Email address	
QS location number (VVVO-No.)	
Registered production scope no.	
QS identification number	
Name of person responsible	
Name of coordinator	

Scope - Cattle farming (#mandatory;##including outdoor access or open-front-stables: valid for production scope 1002; Number of places = maximum number of places that can be used)

Production scope		**Production number**	**Indoor#**	**Number of places**	**Outdoor#, ##**	**Number of places**
Cattle farming						
	Cattle production	1001				
	Calf production	1002				
	Calf breeding	1004				
	Dairy farming	1008				
	Suckling cow production	1016				

Additional information - Cattle farming

	yes	no
On farm mixer (production of own feed materials and compound feedstuff)		
Use of commercial mobile feed milling and mixing plants		
Transport (own animals, own vehicles)		
Transport less than 50 km		
Transport less than 60 km		
Transport over 65 km		

Company details - Pig farming

Name of company	
Street and house number	
Postal code and town	
Telephone/fax number	
Email address	
QS location number (VVVO-No.)	
Registered production scope no.	
QS identification number	
Name of person responsible	
Name of coordinator	

Scope - Pig farming (#mandatory;##including outdoor access or open-front-stables: valid for production scopes 2001, 2002, 2008; Number of places = maximum number of places that can be used)

Production scope		Production number	Indoor#	Number of places	Outdoor#,##	Number of places
Pig farming						
	Pig production	2001				
	Gilt / boar rearing	2002				
	Sow and piglets production	2004				
	Piglet rearing	2008				

Additional information - Pig farming

	yes	no
On farm mixer (production of own feed materials and compound feedstuff)		
Use of commercial mobile feed milling and mixing plants		
Transport (own animals, own vehicles)		
Transport less than 50 km		
Transport less than 65 km		
Transport over 65 km		

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, food retail, QS-GAP and FIAS!) .**										
2				**General requirements**						
2.1				**General system requirements**						
2.1.1 SPOT	1	C,P,CGF		General company data						
2.2				**Farm Management**						
2.2.1	1	CGF		Participation in training courses					X	
2.2.2	1	CGF		Purchase of technical information					X	
2.2.3	1	CGF		Subcontractors					X	
2.2 Sc				**Counselling**						
a 3				**Livestock production requirements**						
a 3.1				**Traceability and labelling**						
a 3.1.1	1	C,P		Purchasing and incoming goods and services					X	
a 3.1.2	1	C,P	**D=K.O.**	Marking and identification of livestock					X	
a 3.1.3	1	C,P	**D=K.O.**	Origin and marketing *					X	

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.1.4	1	C,P	**D=K.O.**	Stock records *					X	
a 3.1.5	1	C,P		Livestock transport *					X	
a 3.2				**Husbandry, care and handling**						
a 3.2.1 SPOT	1	C,P	**D=K.O.**	Monitoring and care of livestock *						
a 3.2.2 SPOT	1	C,P	**D=K.O.**	General farming requirements *						
a 3.2.3 SPOT	1	C,P	**D=K.O.**	Handling sick and injured animals *						
a 3.2.4 SPOT	1	C,P		Shed/sty floor *						
a 3.2.5 SPOT	1	C,P		Shed/sty climate and noise						
a 3.2.6 SPOT	1	C,P		Lighting *						
a 3.2.7 SPOT	1	C,P	**D=K.O.**	Space allowances *						
a 3.2.8 SPOT	1	C,P	**D=K.O.**	Alarm system *						
a 3.2.9	1	C,P		Emergency power supply					X	
a 3.2.10 SPOT	1	C,P		Requirements for loading and unloading equipment for livestock transport						
a 3.2.11 R	1	C		Dehorning of calves *					X	
a 3.2.11 Sc SPOT	1	P	**D=K.O.**	Activity material *						
a 3.2.12 Sc	1	P	**D=K.O.**	Piglet castration					X	
a 3.3				**Feed and feeding**						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.3.1 SPOT	1	C,P	**D=K.O.**	Feed supply *						
a 3.3.2 SPOT	1	C,P		Hygiene of feeding facilities						
a 3.3.3 SPOT	1	C,P		Handling and storage of feed						
a 3.3.4	1	C,P	**D=K.O.**	Feed procurement *					X	
a 3.3.5	1	C,P		Assignment of compound feed deliveries (bulk feed) to location numbers					X	
a 3.3.6	1	C,P		Feed production (on-farm mixer)					X	
a 3.3.7	1	C,P		Feed production in cooperation					X	
a 3.3.8	1	C,P	**D=K.O.**	Use of service providers for feed production					X	
a 3.4				**Drinking water**						
a 3.4.1 SPOT	1	C,P	**D=K.O.**	Water supply *						
a 3.4.2 SPOT	1	C,P		Hygiene of drinking facilities						
a 3.5				**Animal health/medication**						
a 3.5.1	1	C,P		Care contract with farm veterinarian					X	
a 3.5.2	1	C,P	**D=K.O.**	Implementation of the stock care *					X	
a 3.5.3	1	C,P	**D=K.O.**	Procurement and application of medicines and vaccines					X	
a 3.5.4 SPOT	1	C,P	**D=K.O.**	Storage of medicines and vaccines *						
a 3.5.5 SPOT	1	C,P	**D=K.O.**	Identification of treated livestock						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.6				**Hygiene**						
a 3.6.1 SPOT	1	C,P		Buildings and equipment						
a 3.6.2 SPOT	1	C,P		Hygiene on the farm						
a 3.6.3 R SPOT	1	C		Handling of litter						
a 3.6.3 Sc SPOT	1	P		Handling litter and activity material						
a 3.6.4 SPOT	1	C,P		Carcass storage and pick-up *						
a 3.6.5 SPOT	1	C,P		Pest monitoring and control *						
a 3.6.6	0	C,P		Risk assessment for biosafety					X	
a 3.7				**Monitoring programmes**						
a 3.7.1 R	1	C		Fattening calves: residue control program *					X	
a 3.7.1 Sc	1	P		Salmonella monitoring					X	
a 3.8				**Transport of own livestock**						
a 3.8.1 SPOT	1	C,P		Requirements for the means of transportation						
a 3.8.2	1	C,P	**D=K.O.**	Available space during livestock transport *					X	
a 3.8.3 SPOT	1	C,P		Cleaning and disinfection of means of transportation						
a 3.8.4	1	C,P		Delivery documents					X	

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.8.5	1	C,P	**D=K.O.**	Time intervals for feeding and watering as well as duration of transportation and resting times (for livestock transport over 50 km)					X	
a 3.8.6	1	C,P		Transport papers (for livestock transport over 50 km)					X	
a 3.8.7	1	C,P	**D=K.O.**	Proof of qualification for drivers/carers (for livestock transport over 65 km)					X	
b 3				**Plant production requirements**						
b 3.1				**Requirements at the location**						
b 3.1.1	1	CGF		Survey of fields					X	
b 3.1.2	1	CGF		Risk assessment and risk management for agricultural area					X	
b 3.1.3	1	CGF		Crop rotation					X	
b 3.1.4	1	CGF	**D=K.O.**	Separate Storage					X	
b 3.2				**Sustainable tillage and soil protection**						
b 3.2.1	1	CGF		Minimisation of erosion and soil protection					X	
b 3.3				**Sowing/Planting**						
b 3.3.1	1	CGF		Sowing and planting					X	
b 3.3.2	1	CGF		Treatment of seeds and seedlings					X	
b 3.3.3	1	CGF		Suitability of seeds					X	

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
b 3.3.4	1	CGF		Control system for seed and planting material from in-house plant propagation					X	
b 3.4				**Fertilisation**						
b 3.4.1	1	CGF		Records on fertilisation *					X	
b 3.4.2	1	CGF		Fertilisation in accordance with need					X	
b 3.4.3	1	CGF		Analysis of the quantity of nutrients in soil					X	
b 3.4.4	1	CGF		Comparison of fertiliser requirement and application of nutrients					X	
b 3.4.5	1	CGF		Application of fertilisers					X	
b 3.4.6	1	CGF	**D=K.O.**	Application of sewage sludge					X	
b 3.4.7	1	CGF		Use of fermentation substrates					X	
b 3.4.8	1	CGF		Storage of solid and liquid mineral fertilisers					X	
b 3.4.9	1	CGF		Storage of ammonium nitrate and fertilisers containing ammonium nitrate					X	
b 3.4.10	1	CGF		Storage of organic fertilisers					X	
b 3.5				**Plant protection**						
b 3.5.1 SPOT	1	CGF	**D=K.O.**	Records on plant protection measures *						
b 3.5.2 SPOT	1	CGF	**D=K.O.**	Compliance with application instructions *						
b 3.5.3 SPOT	1	CGF	**D=K.O.**	Use of authorized pesticides *						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
b 3.5.4 SPOT	1	CGF	**D=K.O.**	Certificates of proficiency for applicant						
b 3.5.5 SPOT	1	CGF		Integrated pest management measures						
b 3.5.6	1	CGF		Implementation of plant protection measures					X	
b 3.5.7	1	CGF		Disposal of spray residues					X	
b 3.5.8	1	CGF		Purchase of up-to-date information or advice on pesticides					X	
b 3.5.9	1	CGF		Condition and maintenance of plant protection equipment					X	
b 3.5.10	1	CGF		Mixture of spray liquid					X	
b 3.5.11 SPOT	1	CGF		Fundamental protection of operators						
b 3.5.12 SPOT	1	CGF		First aid equipment						
b 3.5.13 SPOT	1	CGF		Emergency plan						
b 3.5.14 SPOT	1	CGF	**D=K.O.**	Storage of plant protection products						
b 3.5.15	1	CGF		Inventory list/directory of hazardous substances					X	
b 3.5.16 SPOT	1	CGF	**D=K.O.**	Access to the Pesticide store						
b 3.5.17 SPOT	1	CGF		Precautions for spillage/leakage						
b 3.5.18	1	CGF		Measuring device and equipment for mixing					X	
b 3.5.19	1	CGF		Cleaning of empty pesticide containers					X	
b 3.5.20 SPOT	1	CGF		Disposal of empty pesticide packaging						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
b 3.5.21	1	CGF		Disposal of pesticides					X	
b 3.6				**Harvesting and transport**						
b 3.6.1	1	CGF		Records on harvest					X	
b 3.6.2 SPOT	1	CGF	**D=K.O.**	Harvesting and transport activities						
b 3.7				**Storing of products**						
b 3.7.1	1	CGF		Constitution of Storage facilities					X	
b 3.7.2	1	CGF		Goods identification by storage					X	
b 3.7.3	1	CGF		Quality preservation measures					X	
b 3.7.4	1	CGF		Pest monitoring and pest control					X	
b 3.8				**Post-Harvest**						
b 3.8.1	1	CGF		Post-harvest treatment *					X	
b 3.9				**Documentation of means of production, traceability, labelling and use of QS Certification Mark**						
b 3.9.1	1	CGF		Purchase of means of production and services					X	
b 3.9.2	1	CGF	**D=K.O.**	Traceability *					X	
b 3.9.3	1	CGF	**D=K.O.**	Labelling of QS Produce *					X	
b 3.9.4	1	CGF		Use of QS Certification Mark					X	
c 4				**Culture specific requirements**						

Requirement no.	Factor	Filter[1]		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
c 4.1				**Grassland use and forage production**						
c 4.1.1	1	CGF		Kind of grassland use/ pasture cultivation					X	
c 4.1.2	1	CGF		Measures during forage storage					X	
c 4.1.3	1	CGF		Requirements for the forage storage					X	
c 4.1.4	1	CGF		Disposal of waste products					X	
g II				**VLOG-Additional Module**						
g II.1				**Requirement (only relevant for locations registered for VLOG-Additional Module)**						
g II.1.1 SPOT	0	C,P		Requirement "Ohne Gentechnik"						

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.**										
e I	**Regionalfenster**									
e I.1	**Requirement (only relevant for locations registered for Regionalfenster via their coordinator)**									
e I.1.1	1			Identification of regional goods					X	
e I.1.2	1			Marking of delivery documents					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 are only 2 C-evaluations.
****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.

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 (CGF,C,P)	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				