



Audit checklist Wholesale Fruit, Vegetables, Potatoes (SPOTAUDIT)

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
Spotaudit	X		
Random sample audit			
Audit of special purpose			
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			
Preliminary audit result		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



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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		
Inspection of working and social conditions 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.										
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 2.2 HACCP										
a 2.2.1	1		D=K.O.	HACCP Concept *					X	
a 2.2.2	1			HACCP Team					X	



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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			Control points (CP)					X	
a 2.2.8	1			Limit Values for CCP/CP					X	
a 2.2.9	1			Monitoring and Verification of Limit Values for CCP/CP					X	
a 2.2.10	1			Corrective Actions for CCP/CP					X	
a 2.2.11	1			Responsibilities					X	
a 2.2.12	1			Records					X	
a 2.2.13	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						
a 2.3.4 SPOT	1			Foreign Substance Management						

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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						
a 3.1.3 SPOT	1			Ground Clearance						



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.1.4 SPOT	1			Order and Organisation						
a 3.1.5	1			Transport Vehicles Delivery					X	
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						
a 3.2.4 SPOT	1			Stock Management						

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
a 3.2.5 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						
a 3.4.5 SPOT	1		D=K.O.	Temperature recording and monitoring						

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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						
a 3.6.5 SPOT	1		D=K.O.	Inspection of Outgoing Goods						

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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	1			Commissioning of Logistics Companies (Subcontractors)					X	
a 3.9 Treatment										
a 3.9.1	1			Treatment and Sorting					X	
a 3.9.2	1		D=K.O.	Post-Harvest Treatment and Sprout Suppressants *					X	

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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	1		D=K.O.	Traceability Check *					X	
a 4.1.4	1		D=K.O.	Reconciliation of Incoming Goods with Outgoing Goods *					X	
a 4.1.5 SPOT	1		D=K.O.	Check on QS eligibility of Delivery						



Company: _____

Date: _____

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D	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.</p>										
<p>d 2 Requirements for Working and Social Conditions</p>										
d 2.1.1	1			Arbeitnehmervertretung					X	
d 2.1.2	1			Complaints Procedure					X	
d 2.1.3	1			Compliance with ILO Core Labour Standards					X	
d 2.1.4	1			Arbeitnehmerinformation					X	
d 2.1.5	1			Arbeitsverträge/schriftlich fixierte Arbeitsbedingungen					X	
d 2.1.6	1			Regelmäßige Lohnzahlungen					X	
d 2.1.7	1			Arbeitsentgelt					X	
d 2.1.8	1			Beschäftigung von Kindern und Jugendlichen					X	
d 2.1.9	1			Pflichtschulausbildung					X	
d 2.1.10	1			Recording of Working Time					X	
d 2.1.11	1			Arbeit- und Ruhezeiten					X	
d 2.1.12	1			Break and Stand-by Areas					X	



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Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D	E	Comments/corrective action number
d 2.1.13	1			Changing Facilities					X	
d 2.1.14	1			Storage Facilities					X	
d 2.1.15	1			Employee Accommodation					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)	
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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 is only one C-evaluation.</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
Number of K.O.	K.O.	Audit not passed.		
	General K.O./ repeated D evaluation	Audit not passed.		



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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.	Requirement No.	Evaluation (C, D/K.O.)	Description of nonconformity	Agreed corrective actions	Scope	Deadline for correction
1						
2						
3						
4						
5						
6						
7						
8						



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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				
2				
3				
4				
5				
6				
7				
8				