



Audit checklist Preparation/Processing Fruit, Vegetables, Potatoes (SPOT 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
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



Qualitätssicherung. Vom Landwirt bis zur Ladentheke.



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 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		
Inspection of working and social conditions requested		

Scope - Preparation/processing fruit, vegetables, potatoes

Production scope		Production number
	Preparation/processing	85

Additional information - Preparation/processing fruit, vegetables, potatoes

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



Company: _____

Date: _____

Requirement 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.</p>										
<p>2 General Requirements</p>										
<p>2.1 General Scheme Requirements</p>										
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						
<p>2.2 Self-Assessment</p>										
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	
<p>2.3 HACCP</p>										
2.3.1	1	,	D=K.O.	HACCP Concept *					X	
2.3.2	1	,		HACCP Team					X	



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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	,		Control points (CP)					X	
2.3.8	1	,		Limit Values for CCP/CP					X	
2.3.9	1	,		Monitoring and Verification of Limit Values for CCP/CP					X	
2.3.10	1	,		Corrective Actions for CCP/CP					X	
2.3.11	1	,		Responsibilities					X	
2.3.12	1	,		Records					X	
2.3.13	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						
2.4.4 SPOT	1	,		Handling of Deviating Products						



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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	
2.9.2	1	,		Information on the QS Scheme					X	

Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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 *						
2.11.6 SPOT	1	,	D=K.O.	Best-before date						



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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	
3.2.2 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
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	
3.5 Requirements for Canning Production										



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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	
4 Packing and other Business Premises										



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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										
5.1.1	1	,		Technical/Structural Condition					X	



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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	1	,		Transport Vehicles Delivery					X	
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						
5.2.4 SPOT	1	,	D=K.O.	Outgoing Goods Inspection						



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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 Management					X	
5.2.8	1	,		Returns Management					X	
5.2.9 SPOT	1	,		Order and Organisation						
5.2.10 SPOT	1	,		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	1	,	D=K.O.	Traceability Check *					X	
5.3.3	1	,	D=K.O.	Reconciliation of Incoming Goods with Outgoing Goods *					X	
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						
5.4 Transport/Logistics										



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D/ K.O.	E	Comments/corrective action number
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	1	,		Commissioning of Logistics Companies (Subcontractors)					X	
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	
7.1.2	1	,	D=K.O.	Implementation of the Residue Monitoring					X	



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			Beschwerdeverfahren					X	
d 2.1.3	1			Einhaltung der ILO-Kernarbeitsnormen					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			Arbeitszeiterfassung					X	
d 2.1.11	1			Arbeit- und Ruhezeiten					X	
d 2.1.12	1			Pausen- und Bereitschaftsräume					X	



Qualitätssicherung. Vom Landwirt bis zur Ladentheke.



Requirement no.	Factor	Filter ¹		Criterion/ requirement	A	B	C	D	E	Comments/corrective action number
d 2.1.13	1			Umkleidemöglichkeiten					X	
d 2.1.14	1			Aufbewahrungsmöglichkeiten					X	
d 2.1.15	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
<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.		
	Percentages exceeded	Audit not passed.		



Qualitätssicherung. Vom Landwirt bis zur Ladentheke.



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						



Qualitätssicherung. Vom Landwirt bis zur Ladentheke.



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				