



Audit checklist Wholesale Fruit, Vegetables, Potatoes

| Audit details | | | | |
|--|---------------|---|--|--|
| Scheme participant | | | | |
| QS locations audited | | | | |
| Additional location information, e.g. coordinator or identification number | | | | |
| Name of contact | | | | |
| Regular audit | Initial audit | X | Follow-up audit | |
| Unannounced regular audit | Yes | | No | |
| 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 | <input type="checkbox"/> | |

Scope - Wholesale fruit, vegetables, potatoes

| Production scope | | Production number |
|--------------------------|---|-------------------|
| <input type="checkbox"/> | Wholesale fruit, vegetables, potatoes (first-line merchant) | 81 |
| <input type="checkbox"/> | Wholesale fruit, vegetables, potatoes (trading partner) | 82 |

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.</p> | | | | | | | | | | |
| a 2 General Requirements | | | | | | | | | | |
| a 2.1 General Scheme Requirements | | | | | | | | | | |
| a 2.1.1 | 1 | | | General Business Data | | | | | | |
| a 2.1.2 | 1 | | | Use of the QS Certification Mark | | | | | | |
| a 2.1.3 | 1 | | | Incident and Crisis Management | | | | | | |
| a 2.1.4 | 1 | | | Handling of Documents | | | | | | |
| a 2.1.5 | 1 | | | Company Premises and Access Regulations | | | | | | |
| a 2.1.6 | 1 | | | Monitoring of Test Equipment | | | | | | |
| a 2.1.7 | 1 | | D=K.O. | Realisation of Self-Assessments | | | | | | |
| a 2.1.8 | 1 | | | Fulfilment of the Initiated Measures in the Event of Deviations | | | | | | |
| a 2.2 HACCP | | | | | | | | | | |
| a 2.2.1 | 1 | | D=K.O. | HACCP-Concept * | | | | | | |
| a 2.2.2 | 1 | | | HACCP-Team | | | | | | |



Company: _____

Date: _____

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|----------------------|-----------------------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| a 2.2.3 | 1 | | | Product Description | | | | | | |
| a 2.2.4 | 1 | | | Flow Diagrams | | | | | | |
| a 2.2.5 | 1 | | | Risk Analysis | | | | | | |
| a 2.2.6 | 1 | | | Critical Control Points (CCP) | | | | | | |
| a 2.2.7 | 1 | | | Limit Values for CCP | | | | | | |
| a 2.2.8 | 1 | | | Monitoring and Verification of Limit Values for CCP | | | | | | |
| a 2.2.9 | 1 | | | Corrective Actions for CCP | | | | | | |
| a 2.2.10 | 1 | | | Responsibilities | | | | | | |
| a 2.2.11 | 1 | | | Records | | | | | | |
| a 2.2.12 | 1 | | | HACCP Verification | | | | | | |
| a 2.3 | Good Hygiene Practice | | | | | | | | | |
| a 2.3.1 | 1 | | | Water Quality | | | | | | |
| a 2.3.2 | 1 | | | Cleaning and Disinfection | | | | | | |
| a 2.3.3 | 1 | | | Pest Monitoring and Control | | | | | | |
| a 2.3.4 | 1 | | | Foreign Substance Management | | | | | | |
| a 2.3.5 | 1 | | D=K.O. | Risk of Contamination* | | | | | | |



Company: _____

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| Require- ment no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|--------------------------------------|---|---|---|------------|---|--------------------------------------|
| a 2.4 Staff Hygiene | | | | | | | | | | |
| a 2.4.1 | 1 | | | General Rules of Conduct | | | | | | |
| a 2.4.2 | 1 | | | Staff Rooms | | | | | | |
| a 2.5 Training of Staff | | | | | | | | | | |
| a 2.5.1 | 1 | | D=K.O. | Hygiene Training | | | | | | |
| a 2.5.2 | 1 | | | Information on the QS Scheme | | | | | | |
| a 2.5.3 | 1 | | | General Training | | | | | | |
| a 3 Process-Specific Requirements | | | | | | | | | | |
| a 3.1 Incoming Goods | | | | | | | | | | |
| a 3.1.1 | 1 | | | Technical/Structural Condition | | | | | | |
| a 3.1.2 | 1 | | | Room, Equipment and Plant Hygiene | | | | | | |
| a 3.1.3 | 1 | | | Ground Clearance | | | | | | |
| a 3.1.4 | 1 | | | Order and Organisation | | | | | | |
| a 3.1.5 | 1 | | | Transport Vehicle Delivery | | | | | | |
| a 3.1.6 | 1 | | | Incoming Goods Inspection | | | | | | |
| a 3.1.7 | 1 | | D=K.O. | Labelling of purchased QS Goods * | | | | | | |



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|---------------------------------|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| a 3.1.8 | 1 | | D=K.O. | Product Temperature | | | | | | |
| a 3.1.9 | 1 | | | Returns Management | | | | | | |
| a 3.1.10 | 1 | | | Complaints Management | | | | | | |
| a 3.1.11 | 1 | | | Quality Requirements * | | | | | | |
| a 3.1.12 | 1 | | | Hygiene Requirements | | | | | | |
| a 3.1.13 | 1 | | | Product Labelling | | | | | | |
| a 3.1.14 | 1 | | | Labelling of QS Goods with an Identification Number | | | | | | |
| a 3.2 Storage | | | | | | | | | | |
| a 3.2.1 | 1 | | | Technical/Structural Condition | | | | | | |
| a 3.2.2 | 1 | | | Room, Equipment and Plant Hygiene | | | | | | |
| a 3.2.3 | 1 | | | Ground Clearance | | | | | | |
| a 3.2.4 | 1 | | | Stock Management | | | | | | |
| a 3.2.5 | 1 | | | Prerequisites for Maintaining Quality | | | | | | |
| a 3.3 Cold Storage Rooms | | | | | | | | | | |
| a 3.3.1 | 1 | | | Technical/Structural Condition | | | | | | |
| a 3.3.2 | 1 | | | Room, Equipment and Plant Hygiene | | | | | | |



Company: _____

Date: _____

| Require ment no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---------------------------------------|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| a 3.3.3 | 1 | | | Ground Clearance | | | | | | |
| a 3.3.4 | 1 | | | Stock Management | | | | | | |
| a 3.3.5 | 1 | | D=K.O. | Temperature Recording and Monitoring | | | | | | |
| a 3.3.6 | 1 | | | Prerequisites for Maintaining Quality | | | | | | |
| a 3.4 Treatment | | | | | | | | | | |
| a 3.4.1 | 1 | | | Treatment and Sorting | | | | | | |
| a 3.4.2 | 1 | | D=K.O. | Post-Harvest Treatments and Sprout Suppressants * | | | | | | |
| a 3.5 Packaging/Redistribution | | | | | | | | | | |
| a 3.5.1 | 1 | | | Technical/Structural Condition | | | | | | |
| a 3.5.2 | 1 | | | Room, Equipment and Plant Hygiene | | | | | | |
| a 3.5.3 | 1 | | | Ground Clearance | | | | | | |
| a 3.5.4 | 1 | | | Packaging Material | | | | | | |
| a 3.5.5 | 1 | | D=K.O. | Declaration of Conformity/Declaration of no Objection * | | | | | | |
| a 3.5.6 | 1 | | | Storage of Packaged Goods | | | | | | |
| a 3.5.7 | 1 | | | Storage/Transport Containers for Products | | | | | | |



Company: _____

Date: _____

| Require ment no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| a 3.6 Order Picking, Outgoing Goods/Shipping | | | | | | | | | | |
| a 3.6.1 | 1 | | | Technical/Structural Condition | | | | | | |
| a 3.6.2 | 1 | | | Room, Equipment and Plant Hygiene | | | | | | |
| a 3.6.3 | 1 | | | Ground Clearance | | | | | | |
| a 3.6.4 | 1 | | | Tidiness and Organisation | | | | | | |
| a 3.6.5 | 1 | | D=K.O. | Inspection of Outgoing Goods | | | | | | |
| a 3.6.6 | 1 | | D=K.O. | Labelling of marketed QS Goods * | | | | | | |
| a 3.6.7 | 1 | | D=K.O. | Product Temperature | | | | | | |
| a 3.6.8 | 1 | | | Product Labelling | | | | | | |
| a 3.6.9 | 1 | | | Labelling of QS Goods with an Identification Number | | | | | | |
| a 3.7 Other Business Premises | | | | | | | | | | |
| a 3.7.1 | 1 | | | Packaging Material Storage | | | | | | |
| a 3.7.2 | 1 | | | Storage of Cleaning Agents and Disinfectants | | | | | | |
| a 3.8 Waste Disposal Logistics | | | | | | | | | | |
| a 3.8.1 | 1 | | | Technical/Structural Condition | | | | | | |



Company: _____

Date: _____

| Require- ment no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| a 3.9 Transport/Logistics | | | | | | | | | | |
| a 3.9.1 | 1 | | | Product-compliant Transport | | | | | | |
| a 3.9.2 | 1 | | | Transport Hygiene | | | | | | |
| a 3.9.3 | 1 | | D=K.O. | Temperature Control * | | | | | | |
| a 3.9.4 | 1 | | | Commissioning of Logistics Companies (Subcontractors) | | | | | | |
| a 3.10 Product-Specific Criteria for the Storage of Potatoes | | | | | | | | | | |
| a 3.10.1 | 1 | | | Suitability of Warehouse | | | | | | |
| a 3.10.2 | 1 | | | Suitability of the Equipment for Incoming and Outgoing Goods | | | | | | |
| a 3.10.3 | 1 | | | Suitability of Preparation and Packaging Systems and Cleaning | | | | | | |
| a 3.11 Residue Monitoring | | | | | | | | | | |
| a 3.11.1 | 1 | | | Organisation of the Residue Monitoring | | | | | | |
| a 3.11.2 | 1 | | D=K.O. | Implementation of the Residue Monitoring | | | | | | |
| a 4 Traceability and Origin | | | | | | | | | | |
| a 4.1 Methods and Control of Traceability | | | | | | | | | | |
| a 4.1.1 | 1 | | D=K.O. | Methods of Traceability | | | | | | |



Qualitätssicherung. Vom Landwirt bis zur Ladentheke.



Company: _____

Date: _____

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|-----------------|--------|---------------------|---------------|--|---|---|---|------------|---|--------------------------------------|
| a 4.1.2 | 1 | | D=K.O. | Separation and Identification of QS Goods/Non-QS Goods | | | | | | |
| a 4.1.3 | 1 | | D=K.O. | Traceability Check * | | | | | | |
| a 4.1.4 | 1 | | D=K.O. | Reconciliation of Incoming Goods with Outgoing Goods | | | | | | |
| a 4.1.5 | 1 | | D=K.O. | Check of the QS eligibility of Delivery | | | | | | |



Company: _____

Date: _____

| Require ment 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 | | | Arbeitnehmervvertretung | | | | | | |
| d 2.1.2 | 1 | | | Beschwerdeverfahren | | | | | | |
| d 2.1.3 | 1 | | | Einhaltung der ILO- Kernarbeitsnormen | | | | | | |
| d 2.1.4 | 1 | | | Arbeitnehmerinformation | | | | | | |
| d 2.1.5 | 1 | | | Arbeitsverträge/schriftlich fixierte Arbeitsbedingungen | | | | | | |
| d 2.1.6 | 1 | | | Regelmäßige Lohnzahlungen | | | | | | |
| d 2.1.7 | 1 | | | Arbeitsentgelt | | | | | | |
| d 2.1.8 | 1 | | | Beschäftigung von Kindern und Jugendlichen | | | | | | |
| d 2.1.9 | 1 | | | Pflichtschulausbildung | | | | | | |
| d 2.1.10 | 1 | | | Arbeitszeiterfassung | | | | | | |
| d 2.1.11 | 1 | | | Arbeits- und Ruhezeiten | | | | | | |
| d 2.1.12 | 1 | | | Pausen- und Bereitschaftsräume | | | | | | |
| d 2.1.13 | 1 | | | Umkleidemöglichkeiten | | | | | | |



Qualitätssicherung. Vom Landwirt bis zur Ladentheke.



| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D | E | Comments/corrective action number |
|-----------------|--------|---------------------|--|------------------------------------|---|---|---|---|---|--------------------------------------|
| d 2.1.14 | 1 | | | Aufbewahrungsmöglichkeiten | | | | | | |
| d 2.1.15 | 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

| Calculation basis: | | 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. **Status II: If the percentage with regard to the proportion of D evaluations is exceeded, status II is assigned if only</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 |
| | Percentages exceeded | Audit not passed. | | | |
| Number of K.O. | K.O. | Audit not passed. | | | |
| | General K.O./ repeated D evaluation | 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 | | | | |