



**AUDIT INFORMATION & EXPECTATION**

**QS WHOLESALE FRUIT VEGETABLES POTATOES**

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## 1. GENERAL

The present certification regulation is about:

- QS Wholesale Fruit Vegetables Potatoes, version 01.01.2020

### 1.1 *Certification Options*

- **Wholesale Fruit, Vegetables, Potatoes (fresh, prepared and processed products)**
  - ✓ Wholesale Fruit, Vegetables, Potatoes (with product handling, eg. Storage, handling, marketing, transportation. It applies also to service providers with product handling) → all the requirements of the standard must be met
  - ✓ Agencies Fruit, Vegetables, Potatoes → only the requirements marked as “A” in titles of Guideline Wholesale Fruit, Vegetables, Potatoes must be met
- **Logistics Fruit, Vegetables, Potatoes:** For all Logistics companies that exclusively transport, and/or store fresh, prepared and processed fruit, vegetables, potatoes without becoming the owner of the products.

### 1.2 *Registration Process*

The applicant:

- Must submit to Q-CERT the respective application which includes all the relevant information.
- Upon registration, is committed to continuously comply with the certification requirements and inform Q-CERT for any changes to its data, as well as be informed of payments of the applicable fees determined by QS and by Q-CERT
- The contract with Q-CERT includes:
  - ✓ Sign the F-2002 Certification Contract QMSCERT.
  - ✓ In case of a Logistics client, the signing of the Declaration of Participation Logistics Service Provider Fruit, Vegetables, Potatoes, is mandatory. This declaration defines points of the relation between the client, the C.B. and QS (e.g. data access, way of financial charging, conduct of audits, logo use, etc.).
- QS must first accept the client’s registration in order for Q-CERT to be able to conduct the first regular audit

### 1.3 *Certification Scope*

The scope of certification covers:

- *Wholesale F-V-P First-line merchant:* any company which procures goods directly from growers and therefore brings the product to market first.

- *Wholesale F-V-P Trading partner*: any company which operates in the market between the first-line merchant and food retail and therefore procures its goods exclusively from upstream companies.
  - ✓ If the company purchases some of its goods directly from growers, it is considered a first-line merchant.
- *Logistics F-V-P*: companies, which logistically handle – e.g. which transport, ship, load and unload, store and commission – fresh prepared and/or processed fruit, vegetables and potatoes. This comprises all activities involved in delivery per truck (road transport), short-term storage for the purpose of transshipment of the goods during delivery, the long-term storage and the order picking.
  - ✓ Logistics companies, which also pack, trade and/or prepare/process goods are categorized as wholesale (first-line merchants or trading partners).
- *Agency*: companies that exclusively carry out trading and marketing activities without having a direct (physical) contact with the goods. They are the owner of the purchased goods or buyer of the goods in order to further commercialization. They can act either as first-line merchant or as trading partner (as described above).

#### **1.4 QS Certificate and Certification Cycle**

The certificates issued by Q-CERT do not allow direct conclusions to be drawn on the approval of a client for QS. Only the information in the QS database indicates the status of the participant in the scheme.

The validity of the certificate begins with the date of certification decision. In case of initial audit, the end date of certificate validity is calculated by adding the time period which corresponds to the QS-Status achieved after the audit. For example, if the date of the initial audit is 1/1/2017 and the achieved QS-Status was I, then the end date of certificate validity is 31/12/2018 (after 2 years).

In case of follow-up audit the new period of certificate validity is calculated from the end date of the previous one by adding the time period corresponding to the achieved QS-Status.

#### **1.5 Maintenance of QS Certification**

For each client with one or more sites that have been accepted for certification, a full regular audit must be performed at specified intervals, with mandatory verification of all applicable requirements prior to the issuance of the certificate. The same applies if the client Changes C.B.

Unannounced full audits and unannounced spot audits must be carried out before the expiration date of the certificate. The results of unannounced spot audit affect the client's QS-Status only in case of K.O. evaluations.

QS reserves the right to conduct unannounced audits (random, special or parallel) to the clients of Q-CERT in order to verify the correct and uninterrupted implementation of QS-Scheme by the Scheme Participants.

### **1.6 Subsequent Audits**

The coordination of the dates and timetable of the audit is done with the cooperation of the customer and Q-CERT.

The achieved status determines the time interval to the next regular audit and the period of validity of the certificate.

If:

- QS-Status I → next regular audit in 2 years.
- QS-Status II → next regular audit in 1 year.
- QS-Status III → next regular audit in 6 months.

Also:

- In case the audit is failed, a full regular audit must be conducted within 6 weeks.
- In case that K.O. evaluations are given during a random sample, special, parallel or spot audit, the follow up audit should always be a full regular audit and be conducted within 6 weeks.

The follow-up audit has to be scheduled in such way, that the subsequent certification takes place on time and thus the QS approval can be preserved.

When the audit frequency is  $\geq 1$  year then the follow-up audit can be conducted up to 6 months before the expiration of the certificate. If the audit is conducted within those six (6) months, the validity of the new certificate shall be counted from the expiry of the previous one. If the audit is conducted earlier than those six (6) months, the validity of the new certificate shall be counted from the date of the audit plus the time period corresponding to the achieved QS-Status.

When the audit frequency is  $< 1$  year then the follow-up audit can be conducted up to 1 month before the expiration of the certificate. If the audit is conducted within that one (1) month, the validity of the new certificate shall be counted from the expiry of the previous one. If the audit is conducted earlier than that one (1) month, the validity of the new certificate shall be counted from the date of the audit plus the time period corresponding to the achieved QS-Status.

#### **Important Notes:**

1. Different audit frequencies may be set to take into account international agreements between QS and other standard holders.
2. Q-CERT decides on the extent of the follow-up audit and has to justify this decision.
3. If the requirement evaluated with a K.O. only refers to documentation needs, Q-CERT can decide to only examine the implementation of corrective measures by means of documentary evidence.

### **1.7 Certification Process**

Prerequisite for client's certification is the successful evaluation of a regular audit.

There are 5 types of evaluations of the scheme's requirements:

- A: The requirement is completely fulfilled.
- B: The requirement is almost completely fulfilled.
- C: The requirement is partially fulfilled
- D/K.O.: The requirement is not fulfilled
- E: The requirement is not applicable

Requirements that could have a critical influence on food safety in case of non-compliance or that are very important for the scheme for other reasons, are defined as K.O. criteria. Non-compliance with one of these criteria could lead to the opening of a sanction procedure and could result in a loss of the eligibility of delivery. D-evaluation of a K.O. criterion is called K.O.-evaluation.

A general K.O. is appointed:

- In the event of a break-off or a refusal of the audit by the enterprise (regular, follow-up, spot)
- If, during the audit, the auditor establishes that there is an acute threat to the safety of humans, animals, the environment, feed or food, that this threat emanates from a part of the location that is not included in the inspected scope, and the urgent threat in the QS scheme cannot be averted by other means (ultima ratio).

The enterprise must be informed by Q-CERT in writing without delay of the consequences of the general K.O. Proof must be provided to QS on request that information has been provided to this effect. Q-CERT makes contact with QS head office before a general K.O. is authorised in the database.

B and E evaluations must be comprehensively and meaningfully explained in the audit report. In addition to that, corrective actions and deadlines for their implementation have to be designated for C and D evaluations. For criteria which are marked with an asterisk (\*), all evidences and/or test objects which were used to prove the compliance must be given regardless of the evaluation.

The client must do the following in case of C and D evaluations:

- Determine and rectify the causes.
- Take suitable preventive measures.
- Document the implemented measures.

Corrective actions implemented after the audit do not change the audit's result.

If the agreed corrective actions are not properly implemented so that the non-conformance is identified within the same requirement at the next audit, the corresponding requirement may be assessed at a lower rate.

In the event that during the audit of a client's location, the client's representative refuses to sign the audit report, Q-CERT must ask for QS's contribution to address this issue.

The audit is passed, if the maximum permitted percentage of C and/or D evaluations presented in the following table is not exceeded and there are no K.O. evaluations.

The audit is failed, if the maximum permitted percentage of C and/or D evaluations to achieve Status III according to the following table is exceeded, a requirement received a K.O. evaluation, a repeated D evaluation or a general K.O. were given. In this case, a regular audit has to be conducted as a follow-up audit. The follow-up audit should be carried out within a period of at the latest six weeks. If it is not possible to implement the corrective actions within this period, the post-audit may also take place at a later date.

Percentage of C evaluations	Percentage of D evaluations	Percentage of C & D evaluations	QS Status
Maximum 5%	0%	-	I
Maximum 10%	Maximum 3%	Maximum 10%	II
Maximum 20%	Maximum 10%	Maximum 20%	III

Additional for each Status:

- Status I
  - ✓ No D evaluation occurs.
  - ✓ The share of C-evaluations in the applicable requirements may not exceed 5%. If the 5 % limit is exceeded, status I is assigned if only one (1) C valuation exists.
- Status II
  - ✓ The proportion of C evaluations is limited to a maximum of 10% and the proportion of D evaluations to a maximum of 3%.
  - ✓ The total share of C and D evaluations must not exceed 10%.
  - ✓ 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.

The approval of a location will be withdrawn at least six weeks after the failed audit, if there is no successful follow-up audit present in the software platform.

In case of doubt about compliance with the requirements of the QS standard, the QS management board may give direct order for a new audit to clarify and verify any inconsistencies. Any costs that will result from such an audit shall be borne by the client if one or more serious breaches of the QS agreement or the requirements of the standard are found.

This also applies to additional customers, companies and locations if the discrepancies affect other companies in the same or another stage of the supply chain under control.

**1.7.1 Combined QS audit with IFS**

It is possible to combine a QS audit with an IFS audit.

In this case:

- Stage Wholesale Fruit Vegetables Potatoes is combined with IFS Food, IFS Cash and Carry / Wholesale.
- Stage Agencies is combined with IFS Broker.
- The requirements of both standards are simultaneously audited in one audit.
- The audit is carried out under the same conditions for both standards (announced or unannounced).
- Regarding the announced or unannounced nature of the audit, the strictest rules apply.
- After the combined audit, the complete QS Checklist is stored in the QS database, the status of the customer is calculated and the eligibility of delivery is issued accordingly.

### **1.8 Transfer between C.B.s.**

The client has the right to request a change of C.B. during the period of validity of its certificate.

The current C.B. is obliged to provide all the necessary documents for the transfer of certification directly to the new C.B.

The new C.B. is obligated to review the transferred certification within four weeks after the client has chosen the new C.B. on the QS software platform

- The decision of the review must be documented in the QS software platform.
- If the new C.B. decides not to accept the certification, a new regular audit needs to be conducted as well as entered and released in the QS data base within eight weeks after the change.
- If the certification is accepted, it must still be ensured that the newly responsible C.B. continues to monitor the implementation of the corrective actions or that the change of the C.B. only takes place after the complete implementation of all corrective actions.

The regulations regarding unannounced audits have to be taken into account by the C.B., the location is transferred to.

If there are K.O. evaluations which have not been corrected at the time of the change of C.B., a new regular audit needs to be conducted at any rate.

The change of the C.B. is not allowed, if the extension on certificate validity has been conducted.

### **1.9 Evaluation Process**

Before the certification audit is conducted, the following must be completed:

- The producer should have available the written documentation such as the HACCP study, the Quality Management Manual, work instructions and internal audit reports.
- Q-CERT may ask for and check before the audit specific written documentation of the customer.

- ✓ Q-CERT will prepare in advance, a list of unclear or doubtful documents in order to be evaluated during the audit.
- The company's specific processes need to be thoroughly assessed at its location (during operation).

### **1.10 Certification Decision**

Q-CERT is required to make a certification decision within 6 weeks from the date of the audit. After that deadline, the audit becomes invalid and a new audit must be carried out.

## **2. APPLICANT'S OBLIGATIONS**

The client is responsible for:

- Registration in the QS-database, including the selection of a C.B.
- Complying with all QS-Scheme's requirements.
- The complete and correct documentation of the system.
- The conduction of internal assessments.
- The correct and on-time implementation of corrective actions.
  - ✓ If the report for corrective actions is not prepared during the audit, the client must submit it to the C.B. and its context agreed upon with the auditor within 14 days from the audit date.
- The correct use of the QS Certification and the Mark and the labelling of the products.
- Compliance with the legal provisions applicable in the country of production of the products and the country of destination.

The client must immediately inform QS, and if necessary the authorities, in case of critical incidences regarding the QS-Scheme and product recalls from the market. Those include:

- Non-conformities that occur in the procurement of goods or during production or marketing that might pose a risk to food safety.
- Preliminary procedures that are initiated due to violation of regulations to secure food safety.
- Media research, critical media reports and public protests which are carried out and are performed directly or indirectly due to questions of food safety.

The applicant is responsible for entering and updating the relevant Master Data in the QS-database.

- In case of Wholesale, regarding the crisis management, the applicant must appoint a contact person responsible for communication of critical incidences.

Except of the Master Data for Wholesale, the applicant must provide information on its existing quality management and self-assessment systems as well as details of the external laboratories which it uses for product analysis.

The Client must inform Q-CERT when:

- There are changes in ownership, structure or management personnel.
- There is scope expansion.
- There are evidence which lead to the conclusion that the client doesn't fulfill the requirements of the scheme.

In case of crisis the client must grant to the C.B. access to its premises and the necessary written documentation.

Documents and records relevant to the internal self-assessments of the client must be kept within the QS-system and stored for at least 2 years.

In case of unannounced audits:

- The client must determine in the QS-database the type of the audit for every location (regular or spot audit).
- The change from spot to regular audit is possible without restrictions.
- The change in spot audit must be done at least 6 months prior to the end of "eligibility of delivery".

After the successful certification of the registered sites of the client and the final inspection of all pre-requisites for approval by QS, the client will receive from QS the Scheme Agreement for participation in the QS-Scheme which has to be signed by the client in order for him to become an approved Scheme Participant.

### **3. Q-CERT'S OBLIGATIONS**

Q-CERT must send the audit plan to the client's management before the audit day.

Q-CERT will inform the client about the visit to him in case of unannounced audit and maximum 1 working day before.

- If the client refuses to have an unannounced audit conducted, Q-CERT will decide whether the refusal is justified. The decision should be documented and presented to QS.
- In case the refusal is unjustified, Q-CERT must enter the audit in the QS database with a general K.O. The client must be notified of the possible consequences of a refusal in advance and in writing.

Q-CERT ensures that regular audits of other standards are not carried out over short distances with unannounced audits of the QS standard.

H Q-CERT must enter the verification of corrective actions into the QS-database at least 4 weeks after the deadline of the implementation.

If the implementation of corrective actions is not conducted appropriately and on time, Q-CERT:

- Has to decide whether the granted certification needs to be withdrawn.
- Will inform QS about this matter.

Q-CERT informs the client timely and in writing, if there are changes during the review of the audit report.

Q-CERT must immediately register and release the audit report in the QS-database within 2 working days when there are:

- K.O. evaluations
  - General K.O.s
  - Repeated D-evaluations
  - Audits where the maximum permitted percentage of C and/or D evaluations is exceeded
- QS will then decide whether to initiate a sanctioning process.

Q-CERT is responsible for informing the applicant about the costs of the whole process, as they are determined by QS and Q-CERT. If a further visit to its premises is needed to prove the closure of a non-conformance, there may be a new charge.

Q-CERT can issue a certificate only when QS has given the “eligibility of delivery” for a client in the QS-database, and has received the corresponding e-mail confirmation.

In case Q-CERT wants to end its Accreditation, or in the case it loses its QS approval, must inform its clients in writing that they have to undergo the certification process again or to transfer their certification to another C.B. Q-CERT must also inform its Accreditation Body.

Only authorized members of the system have access to the data such as the customer, Q-CERT and the auditor.

#### **4. SANCTIONS**

Sanctions are imposed and communicated in writing to the client by the QS Sanctions Board, an independent and neutral committee whose members are appointed by QS and who are not employees, shareholders or have other active commercial relationship with QS.

In the case of severe violations the QS management board can impose an immediate temporary embargo against scheme participants, company locations, divisions and/or affiliated companies or holding companies (production scopes) or products. The embargo lasts until the QS sanction board has reached a decision, but for no longer than a maximum of four weeks.

- The management board of QS is allowed to communicate the temporary embargo to the scheme participants via the QS database.
- The client with whom a violation was determined is requested in all instances by the management board to make a written statement within an appropriate deadline.

The sanctions that may be imposed are:

- Increased control frequency.
- Warning.
- Contractual penalty.
- Temporary or permanent embargo (withdrawal of “eligibility of delivery”).
- Temporary or permanent exclusion (Recommendation to the QS management board to cancel the scheme agreement).

Temporary or permanent embargo or recommendation for exclusion, are communicated to the QS database and imposed when there is:

- Willfully or grossly negligent violation or endangering of human, animal or environment or respectively of property values of other QS scheme participants or of the reputation of the QS scheme as a whole.
- Marketing of QS products although the eligibility of delivery has been withdrawn.
- Enduring violation against the QS scheme agreement/scheme manual in spite of warning.

Any compensation claims which QS may have against the scheme participant (client) are not affected by the sanction measures.

The client can raise an objection to a decision of the QS sanction board, which has to be given towards the QS head office within 30 days after receiving the written decision of the QS sanction board. It has to be forwarded to QS in writing and must be justified.

- The objection:
  - ✓ Once it has been lodged, the QS sanction board reviews its decision and notifies the client in writing of the result of this review.
  - ✓ Has suspense effect.
  - ✓ The decision of the sanction board becomes effective, as soon as the decision has been confirmed within the objection procedure. This does not apply, if the sanction board has decided for immediate implementation in exceptional cases. In these cases the client has to comply with the decision of the sanction board regardless of any objection.
- Any further objection to a decision of the sanction board regarding an objection lodged by the client is not permitted.
- The option of raising an objection does not preclude the option of taking recourse to judicial review before a court of law.

**5. EXTENSION OF CERTIFICATE VALIDITY – CERTIFICATE WITHDRAWAL & DECISION ON PRESERVING THE CERTIFICATE**

In justified individual cases, Q-CERT as an exception has the option to extend the validity of a certificate by up to 3 months. An extension may only be granted if the C.B. has already been commissioned to conduct a follow-up audit.

The extension can be granted at the earliest 1 month prior to the expiry of the validity of the certificate. It must be executed and justified in writing in the QS database.

The follow-up audit and certification decision must then take place within the period of certificate extension.

- If the certification decision is positive, the period of validity of the certificate begins with the day of the certification decision and ends with the final date of the previous certificate (without extension) plus the time interval in accordance with the respective QS status.
- If the follow up audit was not passed, the extension of the eligibility to deliver ends.

Certificates can be withdrawn in the following circumstances:

- Severe violations against the scheme manual
- Exclusion of the client
- Cancellation of the scheme agreement by the client or by QS
- Notice of termination of the client to QS Qualität und Sicherheit GmbH
- Change C.B. by the client
- Change of standards or premature recertification

Q-CERT has to decide whether or not the conduct of a new follow up audit is necessary for the purpose of preserving certification in case there are/is:

- Changes in the ownership, structure or personnel of the responsible management of the client
- A scope extension
- Any other information which allows the conclusion that the company may no longer satisfy requirements

**6. USE OF CERTIFICATION MARK**

The customer can use the QS certification mark when is permitted to him through the QS contract system both on the product itself and in accompanying documents and in information and promotional material, as determined in Appendix 5.3 Style Guide of Guideline General Regulations.

The customer may sell his products to resellers as products from QS certified companies or describe their products as such in the accompanying documents only if the reseller is a QS Scheme Participant. In justified cases there may be deviations from this rule if the reseller is expected to stop advertising or actively marketing these products as QS within his own business transactions and communications with his clients. Then the accompanying product documents should not be described as QS.

The use of the QS certification mark is included in the QS participation fee.

The model of the material on which the QS certification mark will be used must be approved by QS prior to printing.

The necessary print data (samples of shapes, colors, etc.) are available in the protected area of the QS website for the Scheme Participants.

For justifiable reasons, QS may, upon request, approve different ways of presenting the certification mark (color, size, language). The customer must be able to demonstrate this approval during the audit.

The use of the QS certification mark must not be misleading for the consumer:

- The QS certification must be maintained across all stages of the production of the product (inside and outside the processes of the client)
- In multiple product labelling/presentation it must be made clear to which product the QS certification marks refers.