

Audit checklist Feed Sector rev01

| 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 | |
| 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

Company details - Feed sector

| | | |
|-----------------------------------|--|--|
| Name of company | | |
| Street and house number | | |
| Postal code and town | | |
| Telephone/fax number | | |
| Email address | | |
| QS location number | | |
| QS identification number | | |
| Name of person responsible | | |
| Recognition in third-party system | | |

Scope - Feed sector

| Production scope | Production number |
|-------------------|-------------------|
| Premix production | 70 |

Additional information - Feed sector

Information on the quality management system

| | | | | | | | |
|---|-----------------|--|-------------------|--|---------|--|----------------|
| A valid certificate from an accredited certification body for a QS-recognised QM-System exists. | | | | | | | |
| | ISO 9001:2015ff | | ISO 22000:2018 ff | | IFS | | BRC |
| | FCA | | GMP+ FSA | | Fami-QS | | UFAS/ FEMAS |
| | FSSC 22000 | | | | | | |
| Certificate valid until | | | | | | | |

Information on premix production

| | |
|---|--|
| Premix production QS products (in tonnes): | |
|---|--|

Precise name of premix:

Company details - Feed sector

| | | |
|-----------------------------------|--|--|
| Name of company | | |
| Street and house number | | |
| Postal code and town | | |
| Telephone/fax number | | |
| Email address | | |
| QS location number | | |
| QS identification number | | |
| Name of person responsible | | |
| Recognition in third-party system | | |

Scope - Feed sector

| Production scope | | Production number |
|------------------|--------------------------|-------------------|
| | Compound feed production | 71 |

Additional information - Feed sector

Information on the quality management system

| | | | | | | | |
|---|-----------------|--|-------------------|--|------------|--|----------------|
| A valid certificate from an accredited certification body for a QS-recognised QM-System exists. | | | | | | | |
| | ISO 9001:2015ff | | ISO 22000:2018 ff | | IFS | | BRC |
| | FCA | | GMP+ FSA | | FSSC 22000 | | UFAS/ FEMAS |
| | Pastus+ | | FAMI-QS | | GMP-Pharma | | RCNA |
| Certificate valid until | | | | | | | |

Information on compound feed production

| | |
|---|--|
| Compound feed QS production (in tonnes): | |
|---|--|

Company details - Feed sector

| | | |
|-----------------------------------|--|--|
| Name of company | | |
| Street and house number | | |
| Postal code and town | | |
| Telephone/fax number | | |
| Email address | | |
| QS location number | | |
| QS identification number | | |
| Name of person responsible | | |
| Recognition in third-party system | | |

Scope - Feed sector

| Production scope | | Production number |
|------------------|--------------------------|-------------------|
| | Feed material production | 72 |

Additional information - Feed sector

Information on the quality management system

| | | | | | | | |
|---|-----------------|--|-------------------|--|------------|--|----------------|
| A valid certificate from an accredited certification body for a QS-recognised QM-System exists. | | | | | | | |
| | ISO 9001:2015ff | | ISO 22000:2018 ff | | IFS | | BRC |
| | FCA | | GMP+ FSA | | GMP-Pharma | | UFAS/ FEMAS |
| | Pastus+ | | FSSC 22000 | | EFISC-GTP | | FAMI-QS |
| | RCNA | | | | | | |
| Certificate valid until | | | | | | | |

Information on feed material production

| | |
|--|--|
| Feed material QS production (in tonnes) : | |
|--|--|

Company details - Feed sector

| | | |
|-----------------------------------|--|--|
| Name of company | | |
| Street and house number | | |
| Postal code and town | | |
| Telephone/fax number | | |
| Email address | | |
| QS location number | | |
| QS identification number | | |
| Name of person responsible | | |
| Recognition in third-party system | | |

Scope - Feed sector

| | |
|-------------------------|--------------------------|
| Production scope | Production number |
| Private labelling | 74 |

Additional information - Feed sector

Information on the quality management system

| | | | | | | | |
|---|-----------------|--|-------------------|--|------------|--|----------------|
| A valid certificate from an accredited certification body for a QS-recognised QM-System exists. | | | | | | | |
| | ISO 9001:2015ff | | ISO 22000:2018 ff | | IFS | | BRC |
| | FCA | | GMP+ FSA | | GMP_Pharma | | UFAS/ FEMAS |
| | Pastus+ | | FSSC 22000 | | RCNA | | |
| Certificate valid until | | | | | | | |

Information on private labelling

| | |
|--|--------------------|
| Private labelling | |
| | Contract producer* |
| * Please specify all locations (including locations numbers) visited within the context of contract producing below: | |
| Name of the contract producer | |
| | |

| | | |
|--|-----------------------------|--|
| Tonnage private labelling of QS feed: | | |
| Traded feed | Please check if applicable. | |
| Feed additives | | |
| Premixes | | |
| Compound feed | | |
| Feed materials | | |

Company details - Feed sector

| | |
|-----------------------------------|--|
| Name of company | |
| Street and house number | |
| Postal code and town | |
| Telephone/fax number | |
| Email address | |
| QS location number | |
| QS identification number | |
| Name of person responsible | |
| Recognition in third-party system | |

Scope - Feed sector

| Production scope | Production number |
|------------------|-------------------|
| Feed trade | 76 |

Additional information - Feed sector

Information on the quality management system

| | | | | | | | |
|---|-----------------|--|-------------------|--|------------|--|------------|
| A valid certificate from an accredited certification body for a QS-recognised QM-System exists. | | | | | | | |
| | ISO 9001:2015ff | | ISO 22000:2018 ff | | IFS | | BRC |
| | FCA | | GMP+ FSA | | UFAS/FEMAS | | Pastus+ |
| | FSSC 22000 | | FAMI-QS | | EFISC-GTP | | GMP-Pharma |
| | RCNA | | | | | | |
| Certificate valid until | | | | | | | |

Information trade

| | | |
|--|-----------------------------|--|
| Trade with QS feed (in tonnes): | | |
| traded feed | Please check if applicable. | |
| Feed additives | <input type="checkbox"/> | |
| Premixes | <input type="checkbox"/> | |
| Compound feed | <input type="checkbox"/> | |
| Feed materials | <input type="checkbox"/> | |
| Trade incl. storage | <input type="checkbox"/> | |
| Bulk goods | <input type="checkbox"/> | |
| Packed goods | <input type="checkbox"/> | |
| Delivery trade | <input type="checkbox"/> | |
| Bulk goods | <input type="checkbox"/> | |
| Packed goods | <input type="checkbox"/> | |

Company details - Feed sector

| | | |
|-----------------------------------|--|--|
| Name of company | | |
| Street and house number | | |
| Postal code and town | | |
| Telephone/fax number | | |
| Email address | | |
| QS location number | | |
| QS identification number | | |
| Name of person responsible | | |
| Recognition in third-party system | | |

Scope - Feed sector

| | |
|-------------------------|--------------------------|
| Production scope | production number |
| Additive production | 700 |

Additional information - Feed sector

Information on the quality management system

| | | | | | | | |
|---|-----------------|--|-------------------|--|---------|--|----------------|
| A valid certificate from an accredited certification body for a QS-recognised QM-System exists. | | | | | | | |
| | ISO 9001:2015ff | | ISO 22000:20018ff | | IFS | | BRC |
| | FCA | | GMP+ FSA | | Fami-QS | | UFAS/ FEMAS |
| | FSSC 22000 | | GMP-Pharma | | RCNA | | |
| Certificate valid until | | | | | | | |

Information on additive production

| | |
|---|--|
| Additive production QS products (in tonnes): | |
|---|--|

Precise name of the feed additives:

Company details - Feed sector

| | | |
|-----------------------------------|--|--|
| Name of company | | |
| Street and house number | | |
| Postal code and town | | |
| Telephone/fax number | | |
| Email address | | |
| QS location number | | |
| QS identification number | | |
| Name of person responsible | | |
| Recognition in third-party system | | |

Scope - Feed sector

| Production scope | Production number |
|----------------------------------|-------------------|
| Storage and transshipment (feed) | 77 |

Additional information - Feed sector

Information to the quality management system

| | | | | | | | |
|---|-----------------|--|-------------------|--|------|--|----------------|
| A valid certificate from an accredited certification body for a QS-recognised QM-System exists. | | | | | | | |
| | ISO 9001:2015ff | | ISO 22000:2018 ff | | IFS | | BRC |
| | FCA | | GMP+ FSA | | | | UFAS/ FEMAS |
| | Pastus+ | | FSSC 22000 | | RCNA | | |
| Certificate valid until | | | | | | | |

Information on storage and transshipment

| Storage and transshipment | |
|---------------------------|---|
| | Storage and transshipment of QS feed as a service |
| | External storage facilities |

Company details - Feed sector

| | |
|-----------------------------------|--|
| Name of company | |
| Street and house number | |
| Postal code and town | |
| Telephone/fax number | |
| Email address | |
| QS location number | |
| QS identification number | |
| Name of person responsible | |
| Recognition in third-party system | |

Scope - Feed sector

| Production scope | Production number |
|-----------------------|-------------------|
| Road transport (feed) | 78 |

Additional information - Feed sector

Information on the quality management system

| | | | | | | | |
|---|-----------------|--|--------------------|--|------------|--|----------------|
| A valid certificate from an accredited certification body for a QS-recognised QM-System exists. | | | | | | | |
| | ISO 9001:2015ff | | ISO 22000:2018 ff | | IFS | | BRC |
| | FCA | | GMP+ SA | | FSSC 22000 | | UFAS/ FEMAS |
| | Pastus+ | | Qualimat Transport | | RCNA | | |
| Certificate valid until | | | | | | | |

Information on road transport

| Transport (service) | |
|---------------------|----------------|
| | Road transport |

Company details - Feed sector

| | | |
|-----------------------------------|--|--|
| Name of company | | |
| Street and house number | | |
| Postal code and town | | |
| Telephone/fax number | | |
| Email address | | |
| QS location number | | |
| QS identification number | | |
| Name of person responsible | | |
| Recognition in third-party system | | |

Scope -Feed sector

| Production scope | Production number |
|---|-------------------|
| Rail, inland waterway and ocean ship transport (feed) | 79 |

Additional information - Feed sector

Information on the quality management system

A valid certificate from an accredited certification body for a QS-recognised QM-System exists.

| | | | | | | | |
|--------------------------|-----------------|--------------------------|-------------------|--------------------------|------------|--------------------------|----------------|
| <input type="checkbox"/> | ISO 9001:2015ff | <input type="checkbox"/> | ISO 22000:2018 ff | <input type="checkbox"/> | IFS | <input type="checkbox"/> | BRC |
| <input type="checkbox"/> | FCA | <input type="checkbox"/> | GMP+ FSA | <input type="checkbox"/> | FSSC 22000 | <input type="checkbox"/> | UFAS/ FEMAS |
| <input type="checkbox"/> | RCNA | | | | | | |
| Certificate valid until | | | | | | | |

Information on the chatering of rail, inland waterway and ocean ship transport

| Transport (service) | | | |
|--------------------------|-----------------------------------|--------------------------|--|
| <input type="checkbox"/> | Chatering of rail transport | <input type="checkbox"/> | Chatering of inland waterway transport |
| <input type="checkbox"/> | Chatering of ocean ship transport | | |

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. # = In case of a nonconformity the corrective action for this criterion has to take place within 28 days (only valid for production and QS-GAP and FIAS!) .</p> | | | | | | | | | | |
| 2 General requirements | | | | | | | | | | |
| 2.1 General system requirements | | | | | | | | | | |
| 2.1.1 | 1 | Fp,T,S ,R,RW O | D=K.O. | Company data | | | | | | |
| 2.1.2 | 1 | Fp,T,S ,R,RW O | D=K.O. | Official registration and authorisation | | | | | | |
| 2.1.3 | 1 | Fp,T,S ,R,RW O | D=K.O. | Incident and crisis management | | | | | | |
| 2.1.4 | 1 | Fp,T,S ,R,RW O | D=K.O. | Traceability | | | | | | |
| 2.2 Separate QM certification | | | | | | | | | | |
| 2.2.1 | 1 | Fp,T,S ,R,RW O | | Recognition of a QM certification | | | | | | |
| 2.3 Structure of a Quality management system | | | | | | | | | | |
| 2.3.1 | 1 | Fp,T,S ,R,RW O | | Determination of scope | | | | | | |
| 2.3.2 | 1 | Fp,T,S ,R,RW O | | Justification for exclusions | | | | | | |
| 2.4 Requirements for the documentation and communication | | | | | | | | | | |
| 2.4.1 | 1 | Fp,T,S ,R,RW O | D=K.O. | Documentation | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|----------------------|--|---|---|---|---|------------|---|--------------------------------------|
| 2.4.2 | 1 | Fp,T,S ,R,RW O | | Control of documents | | | | | | |
| 2.4.3 | 1 | Fp,T,S ,R,RW O | | Safe-keeping | | | | | | |
| 2.4.4 | 1 | Fp,T,S ,R,RW O | | Communication | | | | | | |
| 2.5 Leadership and planning | | | | | | | | | | |
| 2.5.1 | 1 | Fp,T,S ,R,RW O | | Leadership and commitment of top management | | | | | | |
| 2.5.2 | 1 | Fp,T,S ,R,RW O | | Quality policy | | | | | | |
| 2.5.3 | 1 | Fp,T,S ,R,RW O | | Quality objectives and planning to achieve them | | | | | | |
| 2.5.4 | 1 | Fp,T,S ,R,RW O | | Roles and responsibilities | | | | | | |
| 2.5.5 | 1 | Fp,T,S ,R,RW O | | Planning modifications | | | | | | |
| 2.6 Resource management | | | | | | | | | | |
| 2.6.1 | 1 | Fp,T,S ,R,RW O | | Provision of resources | | | | | | |
| 2.6.2 | 1 | Fp,T,S ,R,RW O | | Human resources | | | | | | |
| 2.6.3 | 1 | Fp,T,S ,R,RW O | | Infrastructure | | | | | | |
| 2.7 Product realisation and services | | | | | | | | | | |
| 2.7.1 | 1 | Fp,T,S ,R,RW O | | Definition and review of requirements for products and services | | | | | | |
| 2.7.2 | 1 | Fp,T,S ,R,RW O | | Process planning and presentation | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|----------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 2.7.3 | 1 | Fp,T,S ,R,RW O | | Product realisation and provision of services | | | | | | |
| 2.7.4 | 1 | Fp,T,S ,R,RW O | | Communication with customers | | | | | | |
| 2.7.5 | 1 | Fp,T,S ,R,RW O | | Development | | | | | | |
| 2.8 Monitoring, measurement and testing | | | | | | | | | | |
| 2.8.1 | 1 | Fp,T,S ,R,RW O | | Control of processes | | | | | | |
| 2.8.2 | 1 | Fp,T,S ,R,RW O | | Control of products | | | | | | |
| 2.9 Evaluation and improvement | | | | | | | | | | |
| 2.9.1 | 1 | Fp,T,S ,R,RW O | D=K.O. | Supplier evaluation | | | | | | |
| 2.9.2 | 1 | Fp,T,S ,R,RW O | | Internal audits | | | | | | |
| 2.9.3 | 1 | Fp,T,S ,R,RW O | D=K.O. | Management review | | | | | | |
| 2.9.4 | 1 | Fp,T,S ,R,RW O | | Customer complaints | | | | | | |
| 2.9.5 | 1 | Fp,T,S ,R,RW O | D=K.O. | Control of defective products and services * | | | | | | |
| 2.9.6 | 1 | Fp,T,S ,R,RW O | | Improvement | | | | | | |
| 2.10 HACCP concept | | | | | | | | | | |
| 2.10.1 | 1 | Fp,T,S ,R,RW O | D=K.O. | HACCP concept | | | | | | |
| 2.10.2 | 1 | Fp,T,S ,R,RW O | | HACCP Team | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|----------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 2.10.3 | 1 | Fp,T,S ,R,RW O | | Flow charts | | | | | | |
| 2.10.4 | 1 | Fp,T,S ,R,RW O | | Hazard assessment | | | | | | |
| 2.10.5 | 1 | Fp,T,S ,R,RW O | | Critical control points (CCP) | | | | | | |
| 2.10.6 | 1 | Fp,T,S ,R,RW O | | Limit values for CCP | | | | | | |
| 2.10.7 | 1 | Fp,T,S ,R,RW O | | Monitoring and verification of the limit values for CCP | | | | | | |
| 2.10.8 | 1 | Fp,T,S ,R,RW O | | Corrective actions for CCP | | | | | | |
| 2.10.9 | 1 | Fp,T,S ,R,RW O | | Responsibilities | | | | | | |
| 2.10.10 | 1 | Fp,T,S ,R,RW O | | Documentations | | | | | | |
| 2.10.11 | 1 | Fp,T,S ,R,RW O | | HACCP verification | | | | | | |
| 3 Requirements for feed production | | | | | | | | | | |
| 3.1 Product specifications for feed | | | | | | | | | | |
| 3.1.1 | 1 | Fp | D=K.O. | Description of the feed produced * | | | | | | |
| 3.1.2 | 1 | Fp | | Information for customers | | | | | | |
| 3.1.3 | 1 | Fp | D=K.O. | Production of feed materials: QS-list of feed materials | | | | | | |
| 3.2 Supply specifications | | | | | | | | | | |
| 3.2.1 | 1 | Fp | | Description of raw materials | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 3.3 Management of raw materials | | | | | | | | | | |
| 3.3.1 | 1 | Fp | | Supply of unprocessed primary agricultural products | | | | | | |
| 3.3.2 | 1 | Fp | | Supply of feed materials: Allowed lists | | | | | | |
| 3.3.3 | 1 | Fp | | Supply of products from vegetable oils and fats | | | | | | |
| 3.3.4 | 1 | Fp | | Supply and production of feed additives | | | | | | |
| 3.3.5 | 1 | Fp | D=K.O. | Exclusion list | | | | | | |
| 3.3.6 | 1 | Fp | | Receiving raw materials | | | | | | |
| 3.4 Certification status of the suppliers | | | | | | | | | | |
| 3.4.1 | 1 | Fp | D=K.O. | Eligibility of delivery of the suppliers * | | | | | | |
| 3.4.2 | 1 | Fp | D=K.O. | Supply of non-certified suppliers: Gate-Keeper-Regulation | | | | | | |
| 3.5 Additional requirements for the supply of former foodstuffs from food manufacturers | | | | | | | | | | |
| 3.5.1 | 1 | Fp | | Quality questionnaire | | | | | | |
| 3.5.2 | 1 | Fp | | Process diagram | | | | | | |
| 3.5.3 | 1 | Fp | | Supplier audits | | | | | | |
| 3.5.4 | 1 | Fp | | Labelling and cleaning of collection containers | | | | | | |
| 3.5.5 | 1 | Fp | | Transport of raw materials | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--------------------------------------|--------|---------------------|---------------|--|---|---|---|------------|---|--------------------------------------|
| 3.5.6 | 1 | Fp | | Direct delivery to the customer | | | | | | |
| 3.5.7 | 1 | Fp | | Evaluation of the supplier audits, quality questionnaire and process | | | | | | |
| 3.6 Operating equipment | | | | | | | | | | |
| 3.6.1 | 1 | Fp | | Layout of the operating facility | | | | | | |
| 3.6.2 | 1 | Fp | D=K.O. | Guarantee of separation of products | | | | | | |
| 3.6.3 | 1 | Fp | D=K.O. | Forbiddance of parallel production concerning special fats and oils | | | | | | |
| 3.7 Maintenance and servicing | | | | | | | | | | |
| 3.7.1 | 1 | Fp | | Maintenance programmes | | | | | | |
| 3.8 Cleaning | | | | | | | | | | |
| 3.8.1 | 1 | Fp | | Cleaning plans | | | | | | |
| 3.8.2 | 1 | Fp | D=K.O. | Cleaning and disinfection agents | | | | | | |
| 3.8.3 | 1 | Fp | D=K.O. | Cleaning work | | | | | | |
| 3.9 Pest monitoring | | | | | | | | | | |
| 3.9.1 | 1 | Fp | D=K.O. | Pest prevention and monitoring | | | | | | |
| 3.9.2 | 1 | Fp | D=K.O. | Pest control * | | | | | | |
| 3.9.3 | 1 | Fp | D=K.O. | Stock protection * | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 3.10 Staff hygiene | | | | | | | | | | |
| 3.10.1 | 1 | Fp | | Hygiene training * | | | | | | |
| 3.11 Regulations for company premises | | | | | | | | | | |
| 3.11.1 | 1 | Fp | | Access to company premises | | | | | | |
| 3.11.2 | 1 | Fp | | Regulations on food, drinks and smoking * | | | | | | |
| 3.11.3 | 1 | Fp | | Work by external companies * | | | | | | |
| 3.12 Glass and other fragile materials | | | | | | | | | | |
| 3.12.1 | 1 | Fp | D=K.O. | Use of glass and other fragile materials | | | | | | |
| 3.13 Waste management | | | | | | | | | | |
| 3.13.1 | 1 | Fp | D=K.O. | Waste management and disposal | | | | | | |
| 3.14 Use of water | | | | | | | | | | |
| 3.14.1 | 1 | Fp | D=K.O. | Water quality | | | | | | |
| 3.14.2 | 1 | Fp | | Water additives | | | | | | |
| 3.15 Carryover and cross-contamination | | | | | | | | | | |
| 3.15.1 | 1 | Fp | D=K.O. | Determination of possible carryovers | | | | | | |
| 3.15.2 | 1 | Fp | D=K.O. | Cross-contamination | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|---------------------|---------------|------------------------------------|---|---|---|------------|---|--------------------------------------|
| 3.16 Contamination | | | | | | | | | | |
| 3.16.1 | 1 | Fp | D=K.O. | Prevention of contamination | | | | | | |
| 3.17 Technological additives (processing agents) | | | | | | | | | | |
| 3.17.1 | 1 | Fp | | Use of technological additives | | | | | | |
| 3.18 Storage | | | | | | | | | | |
| 3.18.1 | 1 | Fp | D=K.O. | Storage management | | | | | | |
| 3.18.2 | 1 | Fp | | Quality maintenance | | | | | | |
| 3.18.3 | 1 | Fp | | Use of external storage facilities | | | | | | |
| 3.19 Packaging | | | | | | | | | | |
| 3.19.1 | 1 | Fp | | Packaging | | | | | | |
| 3.20 Road transport | | | | | | | | | | |
| 3.20.1 | 1 | Fp | | Transport of packed products | | | | | | |
| 3.20.2 | 1 | Fp | | Transport of bulk products | | | | | | |
| 3.21 Commissioning of transport by rail or ship | | | | | | | | | | |
| 3.21.1 | 1 | Fp | | Commissioning a charterer | | | | | | |
| 3.21.2 | 1 | Fp | | Transport of part cargoes | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 3.22 Drying, ventilation and cooling | | | | | | | | | | |
| 3.22.1 | 1 | Fp | D=K.O. | Drying and preservation processes | | | | | | |
| 3.22.2 | 1 | Fp | | Controlling the moisture content and temperature | | | | | | |
| 3.23 Separation of foreign materials | | | | | | | | | | |
| 3.23.1 | 1 | Fp | | Procedures for separating foreign materials | | | | | | |
| 3.24 Declaration of feed and labelling as feed from the QS scheme | | | | | | | | | | |
| 3.24.1 | 1 | Fp | D=K.O. | Article-related labelling as feed from the QS scheme * | | | | | | |
| 3.24.2 | 1 | Fp | | Use of QS certification mark | | | | | | |
| 3.25 Recording of location numbers (VVVO numbers) | | | | | | | | | | |
| 3.25.1 | 1 | Fp | | Assigning of compound feed deliveries (bulk products) to the location | | | | | | |
| 3.26 Feed monitoring | | | | | | | | | | |
| 3.26.1 | 1 | Fp | D=K.O. | Creation of site-specific QS control plans * | | | | | | |
| 3.26.2 | 1 | Fp | D=K.O. | Compliance with QS control plans | | | | | | |
| 3.26.3 | 1 | Fp | | Sampling and sample shipping | | | | | | |
| 3.26.4 | 1 | Fp | | Analysis by QS-recognised laboratories | | | | | | |
| 3.26.5 | 1 | Fp | | Feed monitoring: Data entry | | | | | | |

| Require ment no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|---------------------|---------------|--|---|---|---|---------|---|-----------------------------------|
| 3.26.6 | 1 | Fp | | Gate-Keeping: Data entry | | | | | | |
| 3.26.7 | 1 | Fp | D=K.O. | Positive release sampling: Implementation | | | | | | |
| 3.26.8 | 1 | Fp | | Positive release sampling: Data entry | | | | | | |
| 3.26.9 | 1 | Fp | D=K.O. | Additional control plans: Implementation | | | | | | |
| 3.26.10 | 1 | Fp | | Additional control plans: Data entry | | | | | | |
| 3.26.11 | 1 | Fp | D=K.O. | Ad-hoc monitoring plans: Implementation | | | | | | |
| 3.26.12 | 1 | Fp | | Ad-hoc monitoring plans: Data entry | | | | | | |
| 3.27 Retained samples | | | | | | | | | | |
| 3.27.1 | 1 | Fp | D=K.O. | Accumulation of retained samples | | | | | | |
| 3.28 Requirements for Private Labeller | | | | | | | | | | |
| 3.28.1 | 1 | Fp | D=K.O. | Private Labeller: Description of the responsibilities * | | | | | | |
| 3.28.2 | 1 | Fp | D=K.O. | Private Labeller: Eligibility of delivery of the contract manufacturer * | | | | | | |
| 4. Requirements for the trade of feed | | | | | | | | | | |
| 4.1 Supply specifications | | | | | | | | | | |
| 4.1.1 | 1 | T | | Description of the feed * | | | | | | |
| 4.2 Supply of feed | | | | | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 4.2.1 | 1 | T | | Supply of unprocessed primary agricultural products | | | | | | |
| 4.2.2 | 1 | T | | Supply of feed materials: Allowed lists | | | | | | |
| 4.2.3 | 1 | T | | Supply of products from vegetable oils and fats | | | | | | |
| 4.2.4 | 1 | T | D=K.O. | Exclusion list | | | | | | |
| 4.2.5 | 1 | T | | Receiving feed | | | | | | |
| 4.3 Certification status of the suppliers | | | | | | | | | | |
| 4.3.1 | 1 | T | D=K.O. | Eligibility of delivery of the suppliers * | | | | | | |
| 4.3.2 | 1 | T | D=K.O. | Supply of non-certified suppliers: Gate-Keeper-Regulation | | | | | | |
| 4.4 Storage | | | | | | | | | | |
| 4.4.1 | 1 | T | D=K.O. | Storage facility environment | | | | | | |
| 4.4.2 | 1 | T | D=K.O. | Storage management | | | | | | |
| 4.4.3 | 1 | T | D=K.O. | Guarantee of separation of products | | | | | | |
| 4.4.4 | 1 | T | | Use of external storage facilities | | | | | | |
| 4.5 Maintenance and servicing | | | | | | | | | | |
| 4.5.1 | 1 | T | | Maintenance programmes | | | | | | |
| 4.6 Cleaning | | | | | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 4.6.1 | 1 | T | | Cleaning plans | | | | | | |
| 4.6.2 | 1 | T | D=K.O. | Cleaning and disinfection agents | | | | | | |
| 4.6.3 | 1 | T | D=K.O. | Cleaning work | | | | | | |
| 4.7 Pest monitoring | | | | | | | | | | |
| 4.7.1 | 1 | T | D=K.O. | Pest prevention and monitoring | | | | | | |
| 4.7.2 | 1 | T | D=K.O. | Pest control * | | | | | | |
| 4.7.3 | 1 | T | D=K.O. | Stock protection * | | | | | | |
| 4.8 Staff hygiene | | | | | | | | | | |
| 4.8.1 | 1 | T | | Hygiene training * | | | | | | |
| 4.9 Regulations for company premises | | | | | | | | | | |
| 4.9.1 | 1 | T | | Access to company premises | | | | | | |
| 4.9.2 | 1 | T | | Regulations on food, drinks and smoking * | | | | | | |
| 4.9.3 | 1 | T | | Work by external companies * | | | | | | |
| 4.10 Glass and other fragile materials | | | | | | | | | | |
| 4.10.1 | 1 | T | D=K.O. | Use of glass and other fragile materials | | | | | | |
| 4.11 Waste | | | | | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|-------------------------------|---|---|---|------------|---|--------------------------------------|
| 4.11.1 | 1 | T | D=K.O. | Waste management and disposal | | | | | | |
| 4.12 Use of water | | | | | | | | | | |
| 4.12.1 | 1 | T | D=K.O. | Water quality | | | | | | |
| 4.12.2 | 1 | T | | Water additives | | | | | | |
| 4.13 Contamination | | | | | | | | | | |
| 4.13.1 | 1 | T | D=K.O. | Prevention of contamination | | | | | | |
| 4.14 Stock controls | | | | | | | | | | |
| 4.14.1 | 1 | T | | Quality maintenance | | | | | | |
| 4.15 Packaging | | | | | | | | | | |
| 4.15.1 | 1 | T | | Packaging | | | | | | |
| 4.16 Road transport | | | | | | | | | | |
| 4.16.1 | 1 | T | | Transport of packed products | | | | | | |
| 4.16.2 | 1 | T | | Transport of bulk products | | | | | | |
| 4.17 Commissioning of transport by rail or ship | | | | | | | | | | |
| 4.17.1 | 1 | T | | Commissioning a charterer | | | | | | |
| 4.17.2 | 1 | T | | Transport of part cargoes | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 4.18 Drying, ventilation and cooling | | | | | | | | | | |
| 4.18.1 | 1 | T | D=K.O. | Drying and preservation processes | | | | | | |
| 4.18.2 | 1 | T | | Controlling the moisture content and temperature | | | | | | |
| 4.19 Separation of foreign materials | | | | | | | | | | |
| 4.19.1 | 1 | T | | Procedures for separating foreign materials | | | | | | |
| 4.20 Declaration of feed and labelling as feed from the QS scheme | | | | | | | | | | |
| 4.20.1 | 1 | T | D=K.O. | Article-related labelling as feed from the QS scheme * | | | | | | |
| 4.20.2 | 1 | T | | Use of QS certification mark | | | | | | |
| 4.21 Recording of location numbers (VVVO numbers) | | | | | | | | | | |
| 4.21.1 | 1 | T | | Assigning of compound feed deliveries (bulk products) to the location | | | | | | |
| 4.22 Feed Monitoring | | | | | | | | | | |
| 4.22.1 | 1 | T | D=K.O. | Creation of site-specific QS control plans * | | | | | | |
| 4.22.2 | 1 | T | D=K.O. | Compliance with QS control plans | | | | | | |
| 4.22.3 | 1 | T | | Sampling and sample shipping | | | | | | |
| 4.22.4 | 1 | T | | Analysis by QS-recognised laboratories | | | | | | |
| 4.22.5 | 1 | T | | Feed monitoring: Data entry | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|---------------------|---------------|--|---|---|---|------------|---|--------------------------------------|
| 4.22.6 | 1 | T | | Gate Keeping: Data entry | | | | | | |
| 4.22.7 | 1 | T | D=K.O. | Positive release sampling: Implementation | | | | | | |
| 4.22.8 | 1 | T | | Positive release sampling: Data entry | | | | | | |
| 4.22.9 | 1 | T | D=K.O. | Additional control plans: Implementation | | | | | | |
| 4.22.10 | 1 | T | | Additional control plans: Data entry | | | | | | |
| 4.22.11 | 1 | T | D=K.O. | Ad-hoc monitoring plans: Implementation | | | | | | |
| 4.22.12 | 1 | T | | Ad-hoc monitoring plans: Data entry | | | | | | |
| 4.23 Retained samples | | | | | | | | | | |
| 4.23.1 | 1 | T | D=K.O. | Accumulation of retained samples | | | | | | |
| 5 Requirements for the transportat of feed by road | | | | | | | | | | |
| 5.1 Process descriptions | | | | | | | | | | |
| 5.1.1 | 1 | R | D=K.O. | Determination of processes | | | | | | |
| 5.1.2 | 1 | R | D=K.O. | Subcontracting | | | | | | |
| 5.2 Labelling and traceability (documentation of transports) | | | | | | | | | | |
| 5.2.1 | 1 | R | | Labelling and use of load compartments | | | | | | |
| 5.2.2 | 1 | R | D=K.O. | Documentation of journeys * | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 5.3 Investigation of cleaning measures | | | | | | | | | | |
| 5.3.1 | 1 | R | D=K.O. | Investigation of the necessary cleaning measures | | | | | | |
| 5.3.2 | 1 | R | | Release procedure after the transport of forbidden freights | | | | | | |
| 5.4 Cleaning | | | | | | | | | | |
| 5.4.1 | 1 | R | | Compilation of instructions | | | | | | |
| 5.4.2 | 1 | R | D=K.O. | Cleaning work | | | | | | |
| 5.4.3 | 1 | R | | Cleaning and disinfectants agents and water quality | | | | | | |
| 5.4.4 | 1 | R | | Documentation of cleaning measures | | | | | | |
| 5.4.5 | 1 | R | | Effectiveness assessment | | | | | | |
| 5.5 Transport operations | | | | | | | | | | |
| 5.5.1 | 1 | R | | Inspections prior to loading | | | | | | |
| 5.5.2 | 1 | R | D=K.O. | Quality maintenance of feed | | | | | | |
| 5.6 Contamination | | | | | | | | | | |
| 5.6.1 | 1 | R | D=K.O. | Measures in the case of contamination | | | | | | |
| 5.7 Vehicles with multiple load compartments | | | | | | | | | | |
| 5.7.1 | 1 | R | D=K.O. | Requirements for vehicles with multiple load compartments | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 5.8 Additional requirements for combination vehicles | | | | | | | | | | |
| 5.8.1 | 1 | R | D=K.O. | Technical requirements for combination vehicles | | | | | | |
| 5.8.2 | 1 | R | D=K.O. | Inspections of combination vehicles | | | | | | |
| 5.8.3 | 1 | R | | Cleaning of combination vehicles | | | | | | |
| 5.8.4 | 1 | R | | Protective clothing on combination vehicles | | | | | | |
| 5.8.5 | 1 | R | D=K.O. | Additional requirements for combination vehicles with a flexible separation | | | | | | |
| 5.9 Documentations | | | | | | | | | | |
| 5.9.1 | 1 | R | | Handling documentations | | | | | | |
| 5.10 Purchase or leasing of used freight holds | | | | | | | | | | |
| 5.10.1 | 1 | R | | Purchase or leasing of used freight holds | | | | | | |
| 6 Requirements for the charterer when transporting feed by railway, inland waterways or ocean ships | | | | | | | | | | |
| 6.1 Process descriptions | | | | | | | | | | |
| 6.1.1 | 1 | RWO | D=K.O. | Determination of processes | | | | | | |
| 6.2 Documentations | | | | | | | | | | |
| 6.2.1 | 1 | RWO | | Chartering documents | | | | | | |
| 6.3 Load Compartment Inspections (LCI) | | | | | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|--|---|---|---|------------|---|--------------------------------------|
| 6.3.1 | 1 | RWO | D=K.O. | Commissioning a load compartment inspection * | | | | | | |
| 6.3.2 | 1 | RWO | | LCI reports * | | | | | | |
| 6.4 Requirements for transport on inland waterways | | | | | | | | | | |
| 6.4.1 | 1 | RWO | D=K.O. | Inland waterway transport: Commissioning a transporter | | | | | | |
| 7 Requirements for the storage and transhipment of feed | | | | | | | | | | |
| 7.1 Process descriptions | | | | | | | | | | |
| 7.1.1 | 1 | S | D=K.O. | Storage processes | | | | | | |
| 7.2 Storage | | | | | | | | | | |
| 7.2.1 | 1 | S | D=K.O. | Storage facility environment | | | | | | |
| 7.2.2 | 1 | S | D=K.O. | Storage management | | | | | | |
| 7.2.3 | 1 | S | D=K.O. | Guarantee of separation of products | | | | | | |
| 7.3 Maintenance and servicing | | | | | | | | | | |
| 7.3.1 | 1 | S | | Maintenance programmes | | | | | | |
| 7.4 Cleaning | | | | | | | | | | |
| 7.4.1 | 1 | S | | Cleaning plans | | | | | | |
| 7.4.2 | 1 | S | D=K.O. | Cleaning and disinfection agents | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| 7.4.3 | 1 | S | D=K.O. | Cleaning work | | | | | | |
| 7.5 Pest monitoring | | | | | | | | | | |
| 7.5.1 | 1 | S | D=K.O. | Pest prevention and monitoring | | | | | | |
| 7.5.2 | 1 | S | D=K.O. | Pest control * | | | | | | |
| 7.5.3 | 1 | S | D=K.O. | Stock protection * | | | | | | |
| 7.6 Staff hygiene | | | | | | | | | | |
| 7.6.1 | 1 | S | | Hygiene training * | | | | | | |
| 7.7 Regulations for company premises | | | | | | | | | | |
| 7.7.1 | 1 | S | | Access to company premises | | | | | | |
| 7.7.2 | 1 | S | | Regulations on food, drinks and smoking * | | | | | | |
| 7.7.3 | 1 | S | | Work by external companies * | | | | | | |
| 7.8 Glass and other fragile materials | | | | | | | | | | |
| 7.8.1 | 1 | S | D=K.O. | Use of glass and other fragile materials | | | | | | |
| 7.9 Waste | | | | | | | | | | |
| 7.9.1 | 1 | S | D=K.O. | Waste management and disposal | | | | | | |
| 7.10 Use of water | | | | | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|---|--------|---------------------|---------------|--|---|---|---|------------|---|--------------------------------------|
| 7.10.1 | 1 | S | D=K.O. | Water quality | | | | | | |
| 7.10.2 | 1 | S | | Water additives | | | | | | |
| 7.11 Contamination | | | | | | | | | | |
| 7.11.1 | 1 | S | D=K.O. | Prevention of contamination | | | | | | |
| 7.12 Receiving of products and stock controls | | | | | | | | | | |
| 7.12.1 | 1 | S | | Receiving of products | | | | | | |
| 7.12.2 | 1 | S | | Stock controls | | | | | | |
| 7.13 Drying, ventilation and cooling | | | | | | | | | | |
| 7.13.1 | 1 | S | D=K.O. | Drying and preservation processes | | | | | | |
| 7.13.2 | 1 | S | | Controlling the moisture content and temperature* | | | | | | |
| 7.14 Separation of foreign materials | | | | | | | | | | |
| 7.14.1 | 1 | S | | Procedures for separating foreign materials | | | | | | |
| 7.15 Packaging | | | | | | | | | | |
| 7.15.1 | 1 | S | | Packaging | | | | | | |
| I. VLOG add on module "Ohne Gentechnik" | | | | | | | | | | |
| I.1 Requirement (only relevant for companies that registered for the VLOG-Additional Module) | | | | | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| I.1.1 | 0 | Fp,T,S ,R | | Requirements "ohne Gentechnik" | | | | | | |
| II. Add-on module QS-Soyplus | | | | | | | | | | |
| II. 2 Anforderungen QS-Sojaplus | | | | | | | | | | |
| II. 2.1 Allgemeine Anforderungen | | | | | | | | | | |
| II. 2.1.1 | 1 | Fp,T | | Responsibilities and human resources | | | | | | |
| II. 2.1.2 | 1 | Fp,T | | Trainings | | | | | | |
| II. 2.1.3 | 1 | Fp,T | D=K.O. | Documentation | | | | | | |
| II. 2.1.4 | 1 | Fp,T | | Commissioning of third parties | | | | | | |
| II. 2.1.5 | 1 | Fp,T | | Supplier evaluation | | | | | | |
| II. 2.1.6 | 1 | Fp,T | D=K.O. | Traceability | | | | | | |
| II. 2.1.7 | 1 | Fp,T | | Incident management | | | | | | |
| II. 2.2 Evaluations and improvement | | | | | | | | | | |
| II. 2.2.1 | 1 | Fp,T | | Complaint management | | | | | | |
| II. 2.2.2 | 1 | Fp,T | | Internal audits | | | | | | |
| II. 2.2.3 | 1 | Fp,T | D=K.O. | Management review | | | | | | |
| II. 2.3 Certification status of suppliers | | | | | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|---------------|---|---|---|---|------------|---|--------------------------------------|
| II. 2.3.1 | 1 | Fp,T | D=K.O. | QS-Soyplus eligibility of delivery of suppliers | | | | | | |
| II. 2.4 Purchase of QS-Soyplus compliant Soy (IP, SEG, MB, B&C) | | | | | | | | | | |
| II. 2.4.1 | 1 | Fp,T | | Purchase of unprocessed soybeans | | | | | | |
| II. 2.4.2 | 1 | Fp,T | | Procurement of processed products from soybeans (feed material) | | | | | | |
| II. 2.4.3 | 1 | Fp,T | | Purchase of compound feed | | | | | | |
| II. 2.5 Purchase of non-QS-Soyplus compliant Soy | | | | | | | | | | |
| II. 2.5.1 | 1 | Fp,T | D=K.O. | Purchase of credits | | | | | | |
| II. 2.6 Handling of soy | | | | | | | | | | |
| II. 2.6.1 | 1 | Fp,T | | Verification of shipping papers for incoming products | | | | | | |
| II. 2.6.2 | 1 | Fp,T | | Labelling of outgoing products | | | | | | |
| II. 2.6.3 | 1 | Fp,T | D=K.O. | Material accounting system | | | | | | |
| II. 2.6.4 | 1 | Fp,T | | Conversion factors | | | | | | |
| II. 2.7 Centrally organized purchasing for companies with several sites | | | | | | | | | | |
| II. 2.7.1 | 1 | Fp,T | | Requirements for centrally organized purchasing | | | | | | |
| II. 2.7.2 | 1 | Fp,T | | Description of responsibilities | | | | | | |
| II. 2.7.3 | 1 | Fp,T | | Information flow in case of changes regarding the QS-Soyplus eligibility of | | | | | | |

| Requirement no. | Factor | Filter ¹ | | Criterion/ requirement | A | B | C | D/ K.O. | E | Comments/corrective action number |
|--|--------|---------------------|--|--|---|---|---|------------|---|--------------------------------------|
| II. 2.8 Identity Preserved (IP) | | | | | | | | | | |
| II. 2.8.1 | 1 | Fp,T | | Separation of products/Identity preservation | | | | | | |
| II. 2.8.2 | 1 | Fp,T | | Storage management | | | | | | |
| II. 2.8.3 | 1 | Fp,T | | Labelling of IP-QS-Soyplus | | | | | | |
| II. 2.9 Segregation (SEG) | | | | | | | | | | |
| II. 2.9.1 | 1 | Fp,T | | Separation of products/ Segregation | | | | | | |
| II. 2.9.2 | 1 | Fp,T | | Storage management | | | | | | |
| II. 2.9.3 | 1 | Fp,T | | Labelling of segregated QS-Soyplus | | | | | | |
| II. 2.10 Mass Balance (MB) | | | | | | | | | | |
| II. 2.10.1 | 1 | Fp,T | | Material Accounting | | | | | | |
| II. 2.10.2 | 1 | Fp,T | | Labelling of mass-balanced QS-Soyplus | | | | | | |
| II. 2.11 Book & Claim (B&C) | | | | | | | | | | |
| II. 2.11.1 | 1 | Fp,T | | Material Accounting | | | | | | |
| II. 2.11.2 | 1 | Fp,T | | Labelling of Book&Claim QS-Soyplus | | | | | | |

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. **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 |
| | Percentages exceeded | Audit not passed. | | | |
| Number of K.O. | K.O. | Audit not passed. | | | |
| | General K.O./ repeated D evaluation | Audit not passed. | | | |

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.

Note: The correction deadline is a maximum of 28 days for all FIAS requirements and the documentation requirements: 2.1.1, 2.1.2, 3.4.1 und 3.9.5 (only valid for production!)

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 (T,RWO,Fp,S,R) | 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 | | | | |