

REGULATIONS FOR RECOGNITION OF THIRD-PARTY COMPLIANCE WITH QUALIMAT TRANSPORT SPECIFICATIONS

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1. Principles, General Information

This document describes the operating procedures of the Qualimat Transport system, based on third-party audit of transport operators by independent certifying organizations having collaboration agreements with Qualimat.

Its purpose is to establish compliance with the current Qualimat Transport Specifications and it is binding on all stakeholders in the Qualimat Transport system.

It provides information for all parties concerned on the applicable documentation, procedures for carrying out audits, decision-making following audit, obligations that all parties must observe, etc.

The term 'reference documents' refers to the following: the Qualimat Transport Specifications and annexes, the Regulations for Third-Party Recognition and annexes, the CO-Qualimat Collaboration Agreement and annexes, and the Collection of official positions.

The term 'critical inconsistency' refers to an inconsistency involving a failure to comply with the requirements of the Qualimat Transport reference documents which could entail significant damage to health and safety.

The term 'major inconsistency' refers to an inconsistency involving a failure to comply with the requirements of the Qualimat Transport reference documents which could entail potential damage to health and safety and traceability of the supply chain.

The term 'minor inconsistency' refers to an inconsistency involving a failure to comply with the requirements of the Qualimat Transport reference documents which could entail slight damage to health and safety and traceability of the supply chain.

The term 'recurring' refers to minor, major or critical inconsistencies observed at the two (2) preceding audits and observed again at the latest audit.

The term 'corrections' refers to actions taken to eliminate an observed inconsistency leading to its successful removal (source: ISO 9000).

The term 'correction actions' refers to actions taken to eliminate an observed inconsistency and prevent its recurrence (source: ISO 9000).

Other terms such as container, goods, 'product', etc. are defined in the current Qualimat Transport Specifications.

2. Stakeholders

2.1. Qualimat

Qualimat is an association for the quality control of raw materials for animal feed; it was established in 1978 and is registered with the prefecture under number W5630004752.

Qualimat's mission is to contribute to the safety of the animal feed sector by creating and maintaining tools for monitoring the nutritional and health properties of raw materials.

In this document, the term **Qualimat** refers to the association and/or its administrative bodies (in particular the Board of Directors, the office and the President, and any other person empowered by them, including the Qualimat Steering Committee).

Qualimat guarantees that the principles of confidentiality and impartiality will be observed at all stages of the Qualimat Transport process.

Qualimat is responsible for overseeing the system in its entirety.

- **Role in compiling reference documents:**

- Qualimat is the holder of the Qualimat Transport Specifications and these Qualimat Transport Regulations for Third-Party Compliance.
- It is responsible for compiling these documents, updating them and making them available to the parties concerned.
- The Qualimat Transport Monitoring Committee is an advisory working group comprising representatives of the signatories to the Specifications, who are responsible for implementing the reference documents and monitoring their application, operating under the supervision of the Qualimat Board of Directors. Membership of the committee is subject to approval by the Qualimat Board of Directors.

- **Role vis-a-vis transport operators:**

- Qualimat registers confirmations of commitment from transport operators who undertake to observe the Specifications, these Regulations and their annexes.
- [Qualimat records certification decisions made by certifying organizations.](#)
- Qualimat provides information to transport operators on the requirements of the Specifications and the Qualimat Transport Regulations for Third-Party Recognition and amendments to them.

- **Role vis-a-vis certifying organizations (COs):**

- Qualimat establishes a collaboration agreement with each CO, setting out the commitments of each party.
- Qualimat is responsible for granting, maintaining, suspending and withdrawing authorization for COs to issue Qualimat Transport certificates.

2.2. Certifying organizations

A Certifying Organization (CO) is an independent organization having a collaboration agreement with Qualimat and carrying out certification audits relating to the Qualimat Transport Specifications.

COs are authorized to issue Qualimat Transport certificates after signing a collaboration agreement with Qualimat.

COs are subject to obligations of confidentiality, independence and impartiality and to compliance with the collaboration agreement.

2.3. Transport operators

A transport operator (TO) is a professional transportation agent appointed to deliver 'products' for animal feed.

Transport operators may be common carriers or freight forwarders. [Freight forwarders, as defined in the Qualimat Transport Specifications, do not own or operate their own containers.](#)

2.4. Ordering parties

An ordering party, as defined in the Qualimat Transport Specifications, is a manufacturer of animal feed or any person who places an order for the transportation of animal feed 'products' with a transport operator.

3. Qualimat Transport Registration Cycle

3.1. Registration of transport operators with Qualimat

3.1.1. Registration

In order to be registered, a transport operator must first return a duly completed CONFIRMATION OF OPERATOR COMMITMENT to Qualimat (see annex 1 of these Regulations), undertaking to comply with the Qualimat Transport Specifications, these Qualimat Transport Regulations for Third-Party Recognition, and their annexes.

Once the case file has been verified as admissible (completed registration form, public transport operator's license, proof of DGCCRF registration, no previous registration underway), Qualimat will issue a temporary certificate valid for three (3) months using the template that appears in annex 4 of these Regulations.

The expiry date of this certificate represents the **renewal date** for all subsequent certifications as long as the operator is registered. The transport operator is then added to the list of registered Qualimat Transport operators at the next monthly update.

Transport operators must obtain a confirmation of registration for each site from which they operate. A certificate will be issued for each site.

On receipt of a temporary certificate, the transport operator must contact a CO with a collaboration agreement with Qualimat to schedule an audit before the temporary certificate expires.

3.1.2. Parking bases

Parking bases are defined as locations attached to a site concerned in the Qualimat Transport process, but where no operating activity takes place.

The contact details for the registered site for which the Qualimat Transport certificate is issued must appear on the transport documents.

Parking bases fall within the scope of audits of the site registered in the Qualimat Transport system (see section 4.1)

3.1.3. Multiple branches

Where a transport operator operates through a network of different branches, the local branch offices may not be covered by the certificate issued to the head office or other branch office.

Each branch must obtain its own confirmation of registration and be audited separately.

As a sole exception to this, a freight forwarder operating through branch offices may be granted multiple certificates if all the required materials are based at the head office.

3.1.4. *Re-registration of transport operators*

Transport operators who have been formerly registered with Qualimat Transport and removed from the lists of transport operators (through voluntary withdrawal or a negative certification decision) and wish to re-register, cannot obtain another temporary three (3) month certificate from Qualimat.

To re-register, transport operators must:

- First request an audit by a CO. If the outcome is satisfactory, a provisional three (3) month certificate will be issued. The expiry date of this provisional certificate represents the renewal date, which is applicable to all subsequent certifications for as long as the operator is registered.
- After the preliminary audit, the transport operator must request an initial third-party audit, to be carried out within three (3) months. The preliminary audit and the initial audit are agreed at the same time. The initial audit must not be carried out within one month of the preliminary audit. If the outcome is satisfactory, a final certificate will be issued.

Note 1: If a Qualimat-registered transport operator takes over the transport activity, or a branch of the activity, of a transport operator who has been registered previously (equipment, personnel, business assets, etc.), Qualimat reserves the right to request a preliminary audit as for re-registration.

3.1.5. *Registration of freight forwarders*

Freight forwarders may register with Qualimat Transport only if they charter Qualimat-Transport-registered transporters of 'products' for various purposes (animal nutrition, human nutrition, biofuel, etc.)

3.1.6. *Voluntary withdrawal by transport operators*

Transport operators wishing to terminate their registration with the Qualimat Transport system must inform both Qualimat and their CO in writing. Any termination of the contract signed between the CO and the transport operator, at the initiative of the transport operator and not following a change of CO, will result in withdrawal of the certificate by the CO and the transport operator will be removed from the Qualimat Transport lists.

The transport operator will remain bound to compliance with the provisions of the reference documents and the contractual obligations in general, until the certificate expires or until it is withdrawn by the CO.

Where the termination of registration occurs during the certificate's validity period, the transport operator must return the certificate and all copies of it, and refrain from making any claims regarding it.

The transport operator must observe a notice period necessary for the certifying organization to reorganize.

3.1.7. *Withdrawal by a certifying organization*

The CO and the transport operator must observe a period of notice necessary for the other party to reorganize.

In the event of termination of a contract between a CO and a transport operator at the initiative of the CO, the transport operator must be able to contact a new CO in order to obtain a new certificate and must do so before the contract expires.

3.2. Initial contractualization and assessment of transport operators by COs

3.2.1. Choice of CO

Transport operators must choose and contact a CO from a list maintained by Qualimat and available online on the Qualimat Association website (www.qualimat.org).

3.2.2. Contractualization with a CO

Before any contract can be entered into, a CO must verify that:

- The transport operator has returned the confirmation of registration as a transport operator to Qualimat;
- The confirmation of registration has been accepted by Qualimat.

The transport operator must submit the information required to formalize the CO's offer (see the form in annex 2 of these Regulations). This information must be up to date and submitted ahead of each audit as a minimum requirement.

The CO will clarify any ambiguous or incomplete information submitted by the transport operator before contractualization, to determine the length of time required for the audit.

After contractualization, the audit may go ahead in accordance with the procedure outlined in section 4.

3.3. Renewal of registration

The maximum term for certificates delivered by a CO is twelve (12) months, as of the renewal date.

If a transport operator wishes to remain registered, he/she must submit to a further audit and obtain a satisfactory outcome before the existing certificate expires.

3.3.1. Advance audits

Audits may be scheduled for up to two (2) months before the renewal date of the existing certificate without affecting the renewal date.

Where an audit is carried out more than two (2) months before the renewal date, the term of the existing certificate will be shortened accordingly and the renewal date amended as a result.

3.3.2. Consequences of non-compliance with audit scheduling timescales

In the event of non-compliance with the above timescales, transport operators may have their Qualimat registration withdrawn.

They must then follow the procedure for re-registration outlined in section 3.1.4.

3.4. Anomalies detected during the registration process

Transport operators may be subject to other verifications during the term of their registration by the certifying organization that issued their certificate, in addition to the audit. This may be the case following anomalies (detected in particular by an ordering party, as defined by Qualimat Transport) and brought to the attention of the CO by Qualimat.

The CO will then take the appropriate measures to verify compliance with the Qualimat Transport Specifications (documentary verification, additional audit, etc.). This additional evaluation process carried out by the CO may result in enhanced vigilance (in accordance with the procedure outlined in section 8.3), after which the CO will obtain responses from the transport operator.

4. Conduct of audits

4.1. Preparation for audit

Following contractualization, a Qualimat-Transport-qualified auditor appointed by the certifying organization will prepare an audit based on documents submitted by the transport operator, including an HACCP analysis.

Note 1: If no HACCP analysis has been carried out, the auditor must postpone the audit.

Audits must be organized in such a way that during the audit the auditor has all the information required to establish compliance with the Qualimat Transport Specifications. This includes in particular the random inspection of containers, including any located on remote parking bases, where applicable (see section 3.1.2).

The inspection of containers located on remote parking bases will be carried out following the same sampling procedures as for containers located on the operating site.

The CO will draw up an audit schedule which must be sent to the transport operator at least 10 days before the audit.

4.2. Conduct of audits on-site

The audit procedure typically involves:

- An initial meeting
- An evaluation of documentation
- An evaluation of practices
- A summary of observations (preparation for the closing meeting)
- A closing meeting

The audit principle is based on on-site interviews to verify compliance with the requirements of the Qualimat Transport Specifications.

At the closing meeting the auditor's findings and any inconsistencies detected during the course of the audit will be presented, as a minimum. A copy of the list of inconsistencies will be handed to the transport operator, with the 'description of inconsistency' section completed.

In the event of a disagreement, the transport operator will insert comments in the 'closing report' section provided for this purpose in the audit report. The transport operator and auditor then sign the minutes of the closing meeting.

Note 1: The transport operator's response to the inconsistencies and the auditor's decision in respect of the transport operator's response must not be exchanged on site under any circumstances.

In addition, the auditor may not devise or draft responses to inconsistencies on behalf of the transport operator under any circumstances.

4.3. Audit report

Following evaluation, the CO will send the audit report to the transport operator within 10 days.

On receiving the report, the transport operator has a maximum of 10 days to respond to the CO's auditor.

In the event of serious inconsistencies, the CO may require the transport operator to respond within a shorter time.

Note 1: In the event of non-compliance with the deadline for response, transport operators may have their Qualimat registration withdrawn and must follow the re-registration procedure outlined in section 3.1.4.

On receiving the transport operator's response, the CO has a maximum of 10 days to:

- Complete the audit report with the auditor's decision, taking into account the information available on the satisfactory or non-satisfactory nature of the transport operator's response and removal or non-removal of the inconsistencies.
- Issue a decision on certification following the procedure outlined in section 8.2 or 8.3.

5. Inconsistencies

5.1. Classification

In the course of an audit, the auditors will verify compliance with the reference documents.

Any discrepancy noted with the requirements stipulated in the reference documents will be classified by the auditors.

Discrepancies may be classified as minor inconsistencies, major inconsistencies or critical inconsistencies. They must be substantiated, documented and detailed in the list of inconsistencies.

A non-exhaustive list of possible inconsistencies and their classifications is set out in an official position 3-003.

For certain discrepancies, the rating as a minor or major inconsistency should be assessed by the auditor in the light of the findings and taking the company context into account.

5.2. Management of minor inconsistencies

A final certificate may be issued even where minor inconsistencies have not been removed.

5.3. Management of major inconsistencies

A final certificate cannot be issued where a major inconsistency has not been removed.

5.4. Management of critical inconsistencies

5.4.1. Requirements relating to corrections introduced by transport operators

No provisional or final certificate can be issued where a critical inconsistency has not been removed. A critical inconsistency can only be removed where a transport operator has introduced the corrections outlined in annex 5 of these Regulations, as a minimum requirement.

5.4.2. Requirements relating to corrective actions introduced by transport operators

The introduction of corrective actions by a transport operator, as outlined in annex 5 of these Regulations, will be reassessed by the certifying organization within three (3) months of the audit. In the event of serious inconsistencies, the CO may shorten this period. The reassessment may be carried out in accordance with the following procedures:

- Documentary verification (see section 8.2.2)
- Additional audit (see section 8.2.2)

Where the corrective actions introduced are insufficient to prevent the recurrence of a critical inconsistency at an additional audit, the transport operator will incur a negative decision: 'suspension of certificate' or 'withdrawal of certificate' (see section 8.2.3).

6. Types of audit and duration

6.1. Scope of audit

Transport operator audits cover:

- All containers used to transport 'products' to any destination **and**
- Containers used to transport goods classified as prohibited (in accordance with the IDTF) **and**
- Containers declared 'not involved' in the Qualimat Transport system because they are never used to transport 'products' or prohibited goods.

Note 1: Reminder: containers declared as being 'involved' in the Qualimat Transport system and included when calculating the audit duration, as outlined in annex 3 of these Regulations, are containers used to transport 'products' of any type to any destination, and containers used to transport prohibited goods. Containers declared as 'not involved' in the Qualimat Transport system are also considered when calculating the duration of the audit (see annex 3 of these Regulations). These containers must be checked by sampling during the audit.

6.2. Types of audit

Initial audit: the first audit of a transport operator in accordance with the Qualimat Transport Specifications. At this audit, all the requirements in the Specifications will be assessed by the auditor.

Preliminary audit: the audit of a transport operator returning to the Qualimat system after voluntary withdrawal (including for failure to schedule an audit) or following withdrawal or refusal to issue a certificate.

The purpose of a preliminary audit is to verify the suitability of the transport operator for re-entry to the system; the result of the audit determines whether a provisional 3-month certificate can be issued.

A preliminary audit is followed up by an initial audit before the provisional certificate expires.

Renewal audit: the audit carried out following an initial audit resulting in the issue of a certificate. At this audit, all the requirements in the Specifications are re-assessed.

Where applicable, particular attention is paid to minor inconsistencies not removed at the previous audit, and the non-recurrence of major inconsistencies detected at previous audits.

Additional audit: An additional audit is carried out when an on-site verification is deemed necessary in the context of an Enhanced Vigilance File procedure (see section 8.3), for example to resolve a major or minor inconsistency or following a negative 'suspension of certification' decision.

Where applicable, if the certificate expiry date risks being exceeded, the CO may issue a provisional certificate for a maximum of 3 months pending completion of the additional audit.

During an additional audit, the auditor re-assesses all inconsistencies not removed at the last audit.

Further audit: where an anomaly is reported to Qualimat during the validity period of the certificate, Qualimat may decide to carry out a further audit for which it will set out the terms and conditions (duration, deadline, scope, etc.) and notify the CO in charge of the file.

Unannounced monitoring audit: As of 01/01/2023, an unannounced monitoring audit may be carried out at any time in the certification cycle. The procedures for implementing an unannounced monitoring audit (notice period, scope, duration, etc.) will be determined by Qualimat. Unless there are justified exceptional circumstances, a transport operator may not refuse an unannounced monitoring audit.

6.3. Audit duration

The duration of an on-site audit, calculated by the CO based on information provided by the transport operator, must comply with the calculation method applicable to preliminary audits, initial audits and renewal audits, as outlined in annex 3 of these Regulations.

The minimum duration for an audit, whatever the transport operator's profile, will be a minimum of half a day (e.g. for freight forwarders), except where a preliminary audit is not carried out following a negative 'suspension of certificate' or 'withdrawal of certificate' decision.

The basic audit duration is based on a 7-hour day. Quarter-day fractions may be added on the same day if necessary, if the CO and transport operator agree.

Qualimat reserves the right to check the conformity of an audit duration against the audit schedule.

For additional and further audits, the duration is calculated on a case-by-case basis.

The duration of the audit also includes a scale for setting the cost of the fee payable to Qualimat by the CO (fees outlined in the annex 2 of the CO/Qualimat Collaboration Agreement).

7. Issue of certificates

7.1. Procedure for issuing certificates

The issue of a certificate is dependent on the audit result, according to the following:

Audit result	Procedure	Timescale
No CRITICAL inconsistencies or , No MAJOR inconsistencies or A maximum of 4 minor inconsistencies	Certificate issued by the CO based on relevance of the transport operator's responses Certificate and final audit report forwarded to the transport operator by the CO, with a copy to Qualimat.	Certificate issued within 10 days of the transport operator submitting responses to the inconsistencies.
More than one CRITICAL inconsistency and/or More than one MAJOR inconsistency and/or More than 4 minor inconsistencies and/or Inappropriate response by the transport operator and/or Audit follows a negative certification decision No CRITICAL or MAJOR inconsistency or 4 or less MINOR inconsistencies when the CO makes the decision	Audit result processed in accordance with the procedure outlined in section 8.3 (Enhanced Vigilance Files). The CO notifies the transport operator, with a copy to Qualimat.	Decision made on certification within 30 days of the audit.

7.2. Certificate template

Certificates must conform to the template in appendix 4 of these Regulations.

7.3. Validity of certificates

The maximum validity period for a certificate issued by a CO is 12 months, as of the renewal date (364 days or 365 days in a leap year).

Certificates relate only to future performance and cannot be issued retroactively.

Extensions to the validity period can only be made in exceptional circumstances and cannot exceed 6 months. Extensions must be justified and are subject to prior agreement by Qualimat.

Where an exceptional extension is granted, the certificate issued must conform to the Qualimat Specifications at the time it is issued and for the entire period of validity as above.

Note 1: Where an extension is granted, and in the interests of equity in respect of other transport operators, the validity period of any final certificate issued may not extend more than 12 months beyond the existing renewal date.

8. Certification decisions

8.1. Review of audit reports

The certifying organization reviews the entire audit process (preliminary questionnaire, audit reports, contracts). The purpose of this review is to verify compliance of the process with the provisions of the Qualimat Transport reference documents and the contract between the CO and the transport operator.

The review is the responsibility of the CO. The personnel carrying out the procedure are subject to the following requirements:

- They are salaried employees of the CO.
- They have received training on the Qualimat Transport reference documents.
- The auditor who conducted audit has no part in the certification decision. However, the auditor may be known to the personnel carrying out the review.

8.2. Certification decisions

8.2.1. General

Decisions on certification, as outlined in sections 8.2.2 and 8.2.3 of these Regulations, must be made within 30 days of the audit date. All the documentation required for making a decision is provided by the CO.

Note 1: Transport operators must respond as quickly as possible to requests for additional information from the CO.

The committee's decisions and judgments are recorded by the CO in the relevant columns of the audit report.

The transport operator is notified by the CO with a copy to Qualimat. The CO forwards the final audit report to the transport operator.

8.2.2. Types of decision

After reviewing the inconsistencies and associated corrections and corrective actions, the OC will deliver one of the following judgments:

- Issue of a provisional certificate (3 months maximum) or final certificate (12 months) depending on the type of audit. *Since no provisional or final certificate can be issued while a CRITICAL inconsistency remains unremoved*, and no final certificate can be issued while a MAJOR inconsistency remains unremoved.
- Documentary inspection: registration or renewal of registration is conditional and will only be granted after the required documentary evidence has been submitted to the CO. If necessary, where the certificate expiry date has passed, the CO may issue a provisional certificate for a maximum period of 3 months, with the approval of the committee.
- Additional audit – see definition of audit types (section 6.2.).
The additional audit must take place within 3 months of the CO's decision.
In the interim period the CO may issue a provisional certificate for a maximum period of 3 months, providing there is sufficient evidence that health and safety will be maintained.
Note 1: Unless a permanent certificate is issued within 6 months of the audit, another full audit must be carried out.
- Negative decisions: The OC may also make negative decisions on certification – see section 8.2.3.

8.2.3. Negative certification decisions

Reminder: Transport operators are committed to observing the rules set out in these regulations and featuring in the reference documents.

Where an inconsistency recurs or sufficient corrective action is not taken, or in the event of refusal to submit to the requirements of these Regulations, transport operators may incur one of the following negative certification decisions:

- Refusal to issue a certificate:
If the information provided is insufficient for the CO to make a favorable judgment, he/she will pronounce a refusal to issue a certificate. To return to the Qualimat Transport system, the transport operator must then re-register as described in section 3.1.4.
A refusal to issue a certificate may be accompanied by a withdrawal decision, as outlined below.
- Suspension of certificate:
A transport operator's registration may be suspended during the validity period of his/her certificate for a period of between 1 and 3 months, depending on the gravity of the alleged circumstances.
The suspension may not extend beyond the expiry date of the certificate.
Suspension of the certificate does not exonerate the transport operator from compliance with his/her obligations. The transport operator must continue to observe the Qualimat Transport Specifications and their annexes for all 'product' transportations.
At the end of the suspension period, the transport operator must be re-audited within 3 months of his/her return; the renewal date will not be affected. If the certificate has expired at the end of the suspension period (the suspension falling at the end of the certificate validity period), the CO may issue a provisional certificate for a maximum of 3 months pending the renewal audit.
- Withdrawal of certificate:
The transport operator is de-registered. The transport operator is no longer required to observe the Qualimat Transport Specifications and their annexes.
De-registration incorporates a ban on re-registering within one month.

If the transport operator wishes to re-register at the end of this period, he/she must refer to the procedure outlined in section 3.1.4.

The CO will forward a negative certification decision to the transport operator (by registered mail) with a copy to Qualimat.

8.2.4. Notification of negative certification decisions

In the event of a negative certification decision (suspension or withdrawal of the transport operator's certificate), Qualimat will update its list of registered transport operators immediately. Qualimat will inform all stakeholders via its newsletter of the removal of the transport operator from the list due to failure to comply with the Qualimat Transport reference documents.

8.2.5. Contractual decisions

In the event of non-compliance by a transport operator with his/her contractual obligations vis-a-vis the CO, the CO will notify the transport operator by registered mail with acknowledgment of receipt. If the non-compliance continues following the notification, the transport operator will be subject to the following contractual decisions:

- Suspension of certificate:
The transport operator's registration may be suspended for a period of between 1 and 3 months. The suspension may not extend beyond the expiry date of the certificate. During the suspension period, the transport operator must continue to comply with the Qualimat Transport Specifications and annexes for all 'product' transportations. During the suspension period, the transport operator may not enter into any contract with another CO. When compliance with the provisions set out in the contract between the transport operator and the CO is restored, the certificate will be returned.
- Withdrawal of certificate:
The transport operator's certificate is withdrawn. The transport operator is de-registered and no longer required to observe the Qualimat Transport Specifications and annexes. The de-registration does not incorporate a ban on re-registering.

The contractual decision is sent by the CO to the transport operator (by registered mail) with a copy to Qualimat, who will immediately update the list of registered transport operators.

8.2.6. Notification of contractual decisions

In the event of a contractual decision (suspension or withdrawal of a transport operator's certificate), Qualimat will update its list of registered transport operators immediately. Qualimat will inform all stakeholders via its newsletter of the removal of the transport operator from the list due to failure to comply with the Qualimat Transport reference documents.

8.3. Procedure for managing 'enhanced vigilance' files (EVFs)

8.3.1. General

It is mandatory to apply this section under the following circumstances;

- Where a CRITICAL and/or MAJOR deviation and/or more than 4 minor deviations are observed at an audit;
- Where an audit is carried out following a negative certification decision to ensure that the practices that previously led to this decision no longer exist.

The result of the audit process may also be subject to enhanced vigilance in the following cases:

- At the initiative of the CO when 4 or less minor inconsistencies and no CRITICAL or MAJOR inconsistencies are observed;
- Following an audit carried out after an anomaly is reported by Qualimat.

8.3.2. Certification decisions in the event of an EVF

The purpose of an Enhanced Vigilance File (EVF) is to scrutinize the actions put in place by a transport operator and make a ruling on the rest of the certification process. The aim of these actions must be to eliminate the observed inconsistency (correction) and the cause of it to prevent its recurrence (corrective action).

8.3.3. Notifying Qualimat

Qualimat must be informed when the various stages of an EVF process are implemented:

- The CO must forward all the information available when processing the file: audit date, name of the auditor, audit report, auditee's responses to the inconsistencies, name of the person carrying out the review, date of review, date and the nature of the CO's decision;
- The decision transmitted to Qualimat by the CO must be a detailed and well-argued account;
- All this information must be sent concomitantly and within 10 days of the date the decision is made.

9. Changes during the registration validity period

9.1. Changes affecting registered transport operators

Any change to the organization or activity of a transport operator likely to affect the scope of the Qualimat Transport listing must be brought to the attention of the CO. The CO will notify Qualimat and provide all the details in his/her possession.

Note 1: A certificate cannot be passed on to any third-party transport operator during its period of validity, or transferred without the prior written consent of Qualimat. Transport operators who hold a Qualimat Transport certificate must declare any legal change affecting their status (e.g. change of name, change of address, takeover, merger, capital input, transfer of activity, Universal Transfer of Assets, etc.) to the CO. The transport operator must provide the CO with the following documents to enable consideration of the case: Transport operator's confirmation of commitment, proof of declaration of the exercise of an animal feed activity to change the DD (CS) PP, copy of the transport license. These documents demonstrate the change. The CO will forward the case file along with his/her documented recommendations to Qualimat, who will consider the case and either agree or refuse to transfer the certificate.

9.2. Change of CO

Where a file is taken over by another CO, the original CO must send the audit reports for the previous 2 years and 2 months to the new CO, to enable follow-up of any inconsistencies.

If the file is not sent, the new CO must request the reports from the previous CO, who must send them as soon as possible.

10. Payment terms

The CO may require the transport operator to pay for an audit service before it is carried out.

If the audit fee is not paid, the transport operator is liable to the contractual decisions outlined in section 8.2.5 of these Regulations. The issue of the certificate is not affected by failure to pay for the audit service. However, the certificate may be suspended or withdrawn if payment is not received for the audit services, following the procedure outlined in section 8.2.5 of these Regulations.

11. Conditions for use of the Qualimat trade mark and/or logo

The conditions for using the Qualimat trademark and/or logo by a registered transport operator are outlined in the document 'Use of the Qualimat Transport registered trademark and logo'.

12. Questions/enquiries on the Qualimat Transport recognition procedure

Qualimat may receive enquiries from stakeholders on the Qualimat Transport reference documents.

13. Appeals procedure

Transport operators and COs who are signatories to these Regulations may approach the Qualimat Board of Directors over disputes concerning the implementation of these Regulations.

The Board of Directors will request written comments from each party, review them and make a decision within two months.

If the dispute continues, the parties will endeavor to settle their differences amicably.

Where this fails, the parties must bring their cases before the competent court of Vannes (Morbihan).

14. Communication

Qualimat is responsible for disseminating the Qualimat Transport reference documents.

Qualimat is also responsible for updating and disseminating the following records:

- List of registered transport operators;
- List of transport operators subject to negative certification or contractual decisions;
- List of COs and qualified auditors;
- List of accredited cleaning stations.

The reference documents and lists are published on the Qualimat Association website (www.qualimat.org).

15. Data management

Qualimat manages all data provided by transport operators and COs centrally on a computerized system, and makes it available to COs within the limits established by confidentiality regulations.

The data is also used to compile anonymous datasets.

Qualimat undertakes to observe the confidentiality of all data received from transport operators and COs both at Association level (by members, committees and working groups) and by its staff and committee members, and not to use it for any purpose other than the purposes outlined in these Regulations.

In accordance with law 78-17 of January 6, 1978, amended by law 2018-493 of June 20, 2018, the personal data collected from transport operators is necessary specifically for processing these Regulations.

The data may be communicated to any Qualimat partner responsible for the execution, processing and management of these Regulations.

The processing of information communicated via the Qualimat website meets the legal requirements for protection of personal data; the information system used provides optimal data protection.

In accordance with current national and European legislation, transport operators have the right to permanent access, modification, rectification, opposition, portability and limitation of processing of information concerning him/her, by addressing a written request to Qualimat by mail, with proof of identity.

ANNEX 1

Confirmation of transport operator commitment

The specifications linked to the commitment of an operator to the Qualimat Transport process are described in paragraph 3.1 of these Third-Party Recognition Regulations (3.1. Commitment of a Transport Operator to Qualimat). The terms described below detail its practical implementation with the Qualimat Association.

Terms of commitment:

- The commitment is the responsibility of the transport operator: as part of its first commitment, the price is €140 excluding tax (€168 including tax), rate applicable on 02/15/2024. For possible renewed commitment, there is no payment to be made to Qualimat,
- The transport operator must send a file to Qualimat consisting of:
 - The commitment confirmation form, on page 2 of this document, duly completed.
 - Copy of the transport license,
 - Proof of commitment to the DGCCRF in accordance with Regulation (EC) 183/2005,
 - In the case of a first commitment, payment to the order of the Qualimat Association by check or proof in the case of bank transfer.

Return to QUALIMAT could be sent:

- by email: support.transport@qualimat.org),
- by mail (5 rue de la Fontaine, 56500 LOCMINE

Study and validation:

Commitment to the process is admissible when all of the required documents are sent to Qualimat.

As part of a first commitment, a 3-month provisional certificate issued by Qualimat, accompanied by the paid invoice, is then sent to the operator. The rest of the certification process is carried out by a certification body. The operator must therefore contact one of the authorized Certification Bodies having signed an agreement with Qualimat and be audited before the provisional certificate expires.

As part of a renewed commitment, or an update of the commitment, an acknowledgment of registration email is sent to the operator by Qualimat for proof of registration of the file. This element must be communicated to the certification body which monitors the transport operator.

ANNEX 1

Confirmation of transport operator commitment

• **Company details (site for registration)**

Used strictly for business purposes.

Company name:			
Group to which the company belongs:			
Legal status :			
Address :			
Postal code:		Town:	
Country :		Phone no. :	
Email :			
APE code (business identifier) :		SIRET no. (Business registration):	
Intracommunity VAT no. :			
Business activity :	<input type="checkbox"/> Public goods transport	<input type="checkbox"/> Freight forwarding	<input type="checkbox"/> Other, please specify : _____

• **Types of container and goods transported:**

<u>Type of container</u> <i>E.g. Trailer, liquid tanker, powder tanker, moving floor trailer etc.</i>	<u>Quantity</u>	<u>Type of goods transported.</u> <u>Related IDTF no.</u> <i>E.g. cereals (40341), scrap metal (30089)</i>



The company agrees not to use any container previously used to transport prohibited goods to transport 'products' for animal feed (see section 1.3 of the Qualimat Transport specifications). Where the company is unable to identify and confirm the previous transportation history of its containers, or where these containers are intended for the transportation of 'products' for animal feed, it undertakes to carry out a redeployment protocol (see annex 3 of the Qualimat Transport Specifications) before transporting any 'products'.

The company declares that it has read all the requirements of the Qualimat Transport Specifications and Qualimat Transport Regulations and undertakes to comply with them.

Place: _____ Date : _____
Name of signatory: _____ Position of signatory: _____
Company signature and stamp:



For companies operating from more than one site, please complete a registration form for each site concerned

ANNEX 2

Company questionnaire prior to third-party inspection of Qualimat Transport Specification compliance

Important: Help with completing this document is shown in green.

1. Details of company to be audited.

Reminder: In accordance with section 3.1.3 of the Regulations, when a company relocates it is not covered by any certificate awarded to its head office or to another company, with the exception of freight forwarders.

- Company

Company name			
Group			
Address			
Billing address (if different)			
Phone no.			
Legal status			
SIRET no. (business registration)			
Intra-EU VAT no.		APE code (main activity)	

- Contact person

Surname/First name			
Position			
Email			
Mobile		Landline	

2. Company status with Qualimat Transport

Tick the **box** corresponding to your current status with Qualimat transport and enter the associated details:

<input type="checkbox"/> Transport operator registering for the first time	Registration submitted on (date) No. on temporary Qualimat certificate Certificate expiry date	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td></td></tr> <tr><td>CDC</td></tr> <tr><td></td></tr> </table>		CDC	
CDC					
<input type="checkbox"/> Transport operator applying for re-registration after withdrawing from the system	Re-registration submitted on (date) Date registration acknowledged by Qualimat	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td></td></tr> <tr><td></td></tr> </table>			
<input type="checkbox"/> Transport operator already registered and having a valid Qualimat certificate	Name of certifying body handling the file Date of last audit Expiry date of current certificate	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> </table>			

3. Business activity

☐ Public transport of goods

☐ Freight forwarder

In the last 12 months

- Number (maximum) of drivers (including temporary staff)
- Do you use a haulage service?

☐ Yes

☐ No

Do you have container parking bases other than on the operating site concerned by this questionnaire?

☐ Yes

☐ No

4. Quality System

Is your quality system accredited by a third-party certifying body other than Qualimat Transport?

☐ Yes

☐ No

If so, please specify:

- Name of certificate
- Name of certifying body

5. Information relating to the use of containers.

In the table below, indicate the maximum number of containers in use at the same time (owned and rented)

- Since signing the registration [if you're registering for the first time.](#)
- Since signing the re-registration [if you're re-registering.](#)
- Since your last audit [if you're already certified.](#)

5.1. Containers transporting 'products' covered by the Qualimat Transport Specifications (except the regulated 'products' under section 5.2)

Type of container	Number of containers transporting 'products'	Cleaning level				Category of goods transported including IDTF number (or attach a list)
		A	B	C	D	
Cereal tipper		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Moving floor tipper		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Feed tanker		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Liquid tanker		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Powder tanker		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other (specify)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Other (specify)						

5.2. Containers used solely for transporting regulated 'products'

This section concerns the transport of products derived from animal by-products and governed by Regulation EC 999/2001

Type of container	Number of containers used solely for transporting regulated 'products'	Category of goods transported including IDTF number
Cereal tipper		
Moving floor tipper		
Feed tanker		
Liquid tanker		
Powder tanker		
Other (specify)		

5.3. Containers transporting prohibited goods.

Type of container	Number of containers transporting prohibited goods	Category of goods transported
Cereal tipper		
Moving floor tipper		
Public works tipper		
Liquid tanker		
Powder tanker		
Other (specify)		

5.4. Containers transporting neither 'products' (regulated or otherwise) nor prohibited goods.

If you have no containers in this category, please insert '0' in the box below.

Number of containers	
-----------------------------	--

5.5. Containers rented (as owner or renter) and second-hand containers purchased.

For these questions, your answer should relate to the relevant period:

- Since signing the registration if you're registering for the first time.
- Since signing the re-registration if you're re-registering,
- Since your last audit if you're already certified.

Do you rent any transport equipment?

☐ Yes

☐ No

If so,

- Number of rental **containers** used as renter:
- Number of rental **containers** owned:

Have you purchased any second-hand containers?

☐ Yes

☐ No

If so, how many:

--

6. Details of business activity

For these questions, your answer should relate to the relevant period:

- Since signing the registration if you're registering for the first time.
- Since signing the re-registration if you're re-registering,
- Since your last audit if you're already certified.

6.1. Subcontracting

Do you sub-contract any transport as a registered Qualimat Transport operator?

☐ Yes

☐ No

6.2. In-house washing station

Is there an in-house washing station included under the SIRET number for the registered operating company?

☐ Yes

☐ No

6.3. Mutual recognition

Do you operate your transport activity under a mutual recognition of standards?

☐ Yes

☐ No

- GMP+ International
- FCA - OVOCOM
- QS

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

I certify that the information above is true and accurate.

Date:

Name of signatory:

Signature:

ANNEX 3

Calculation table for Qualimat Transport audit duration

Initial audit, renewal audit, preliminary audit (following penalty):

Basic time	1 day
Additional time for prohibited goods transport	+ ¼ day
Additional time for more than 30 containers or more than 2 types of containers (e.g. trailers, liquid tankers, powder tankers, etc.)	+ ¼ day
Additional time for more than 60 containers 'not covered'	+ ¼ day
Time reduction where there are no prohibited goods or level D cleaning	- ¼ day
Time reduction for less than 10 containers	- ¼ day
Time reduction where a recognized third-party quality system is in place with similar scope and domain (e.g. ISO 9001)	- ¼ day
Minimum time	½ day
TOTAL	

Preliminary audit (not following penalty)

Basic time	½ day
Additional time for prohibited goods transport	+ ¼ day
Additional time for more than 30 containers or more than 2 types of container (e.g. trailers, liquid tankers, powder tankers, etc.)	+ ¼ day
Time reduction for less than 10 containers	- ¼ day
TOTAL	

ANNEX 4

Qualimat Transport certificate template

Qualimat Transport certificates are based on the template below.

Note 1: only the date of the initial audit or renewal audit is given (the date of any additional audit is not shown); the numbers and types of container, goods transported and date of registration are not shown.

Note 2: this template is also used for provisional certificates.

(Space for name and logo of certifying organization)

(Space for required graphic elements)

Certifies that
following an audit carried out on ... over ... days

the company

at its site:
(address of company)

.....
.....

SIRET no.

Intracommunity VAT no.*

*For foreign transport operators

Qualimat code

is compliant with the QUALIMAT TRANSPORT Specifications, version 6



relating to bulk road transport of animal feed 'products'

This certificate no. is valid from to

(expiry date verifiable at www.qualimat.org)

Issued in ... on.....

Name and signature of Certifying
Organization director

Space for address of certifying organization and any additional information (logo suite, conditions of issue, etc.)

ANNEX 5

Minimum corrections and corrective actions to be implemented in response to critical inconsistencies as required under the Qualimat Transport Specifications

This document lists the minimum corrections and corrective actions which transport operators must implement in response to critical inconsistencies as required under the Qualimat Transport Specifications.

The list is non-exhaustive. The certifying organization may ask for additional actions to be carried out depending on the circumstances of the inconsistency observed.

Section in the Specifications	Point or requirement concerned	Inconsistency	Action to eliminate the inconsistency Correction	Action to eliminate the cause of the inconsistency and prevent recurrence Corrective action
§2.5. Quality System - Improvement	Improvements	Insufficient control measures to prevent recurrence of a MAJOR or CRITICAL inconsistency resolved in the previous 2 years and 2 months	See the inconsistency that has recurred	See the inconsistency that has recurred
§4.1. Contract review - Verification of contract feasibility	Identification and type of goods for transport Redeployment of containers Scheduling of cleaning	Prohibited goods transported in containers used for transporting products (no redeployment protocol carried out where redeployment authorized).	Obtain and forward the information required for categorization of the goods retrospectively and immediately suspend the container(s) involved for transporting 'products', together with confirmation in writing that the container(s) have been removed from the 'product' flow.	Redeployment protocol or if the transport operator does not wish to carry out the redeployment protocol, written confirmation that the container(s) have been removed from the 'product' flow, and identify the root causes of the inconsistency and implement appropriate corrective actions, including revision of the internal contract review procedure and raising awareness to the Qualimat Transport Specification requirements among the personnel concerned, as a <i>minimum</i> .
§5. Subcontracting:	Certified subcontractor	Subcontractor chartered without Qualimat or equivalent certification.	Suspension of chartering operations to the transport operator(s) concerned and a written commitment to no longer charter subcontractors not certified by Qualimat Transport or equivalent.	Identify the root causes of the inconsistency and implement appropriate corrective actions, including the establishment or revision of an official chartering procedure for subcontractors incorporating verification of certification, as a <i>minimum</i> .

Section in the Specifications	Point or requirement concerned	Inconsistency (non-exhaustive list)	Action to eliminate the inconsistency Correction	Action to eliminate the cause of the inconsistency and prevent recurrence Corrective action
§4.1. Contract review - Verification of contract feasibility	Identification and type of goods for transport Redeployment of containers Scheduling of cleaning	Goods incorrectly categorized in the case of prohibited goods.	Obtain and forward the information required for categorization of the goods retrospectively and immediately suspend the container(s) involved for transporting 'products', together with confirmation in writing that the container(s) have been removed from the 'product' flow.	Redeployment protocol or if the transport operator does not wish to carry out the redeployment protocol, written confirmation that the container(s) have been removed from the 'product' flow, and identify the root causes of the inconsistency and implement appropriate corrective actions, including revision of the internal contract review procedure and raising awareness to the Qualimat Transport Specification requirements among the personnel concerned, as a <i>minimum</i> .
§7. Cleanliness of containers	Cleaning and disinfectant product	Cleaning product not approved for food contact.	Where an internal washing station is used: - Discontinue usage of the cleaning product(s) concerned - Replace the cleaning product(s) concerned. Where an external washing station is used: Communicate the instructions for use of the cleaning products approved for food contact to the washing service providers.	Where an internal washing station is used: - Forward the proof of food-contact approval to the certifying organization - Raise awareness to the Qualimat Transport Specification requirements among the personnel concerned. Where an external washing station is used: - Review the procedure for using external washing stations - Raise awareness to the Qualimat Transport Specification requirements among the personnel concerned.
§7. Cleanliness of containers	Water compliance	Water non-compliant for washing points and no corrective action taken (repeated occurrence).	Suspend usage of the washing point(s) together with a written confirmation that the washing point(s) will not be used until proof of water compliance is obtained and carry out a level D cleaning on the container(s) concerned.	Identify the root causes of the non-compliance and implement the appropriate corrective actions and raise awareness to the Qualimat Transport Specification requirements among the personnel concerned.

Section in the Specifications	Point or requirement concerned	Inconsistency (non-exhaustive list)	Action to eliminate the inconsistency Correction	Action to eliminate the cause of the inconsistency and prevent recurrence Corrective action
57. Cleanliness of containers	Cleaning operations	Non-compliance with redeployment protocol (including OP3-004 'Minimum analyzes to be carried out as part of a cleaning and disinfection procedure for the redeployment of containers for transporting 'products' intended for animal feed).	Immediately suspend the container(s) involved for transporting 'products', together with confirmation in writing that the container(s) have been removed from the 'product' flow.	Carry out a redeployment protocol and provide written confirmation that 'products' will not be transported in the container(s) concerned before the protocol has been carried out, or if the transport operator does not wish to carry out the redeployment protocol, written confirmation that the container(s) have been removed from the 'product' flow, and identify the root causes of the non-compliance and implement the appropriate corrective actions. Raise awareness to the Qualimat Transport Specification requirements among the personnel concerned.