

**SQAS 2022 Transport Service**

**Questionnaire Revised version 2**



Version 25/11/22

**SQAS 2022 Transport Service – Questionnaire**

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| **SQAS 2022 Transport Service questionnaire Revised version 2- English version –**  **New text with regard to the 2019 version is in blue. New revised text is in green.**  **New text of version 2 is in red**  **(\*) The letter “M” in this column identifies a question corresponding to the OCS Mandatory requirements** | | | | **OCS (\*)** |
| **Item N°** | **Question** |  | **Guideline** |  |
| **6.** | **Management of Subcontractors** |  | **Management of Subcontractors** |  |
| **6.1.** | **Subcontracting services** |  | **Subcontracting services** |  |
| **6.1.1.** | **Subcontracting policy** |  | **Subcontracting policy** |  |
|  |  |  | It is of critical importance that any road haulage which is subcontracted to another haulier is operated to equivalent safety, health, environmental, security, quality and CSR standards as that of the main contractor. The assessed company must have systems in place providing this assurance, in line with the Cefic/ECTA Subcontracting Guidelines. Cefic website: <https://cefic.org/library-item/guidelines-on-subcontracting-of-chemical-road-transport>  The company will classify road subcontractors as: fully integrated subcontractors, non- integrated subcontractors or spot subcontractors in line with the guidelines. For other "Road transport related Services", equivalent standards shall be considered. Road transport related services include cleaning stations, cross dock service providers, intermodal service providers, barge and rail and depots. |  |
| 6.1.1.1. | Does the assessed company have a written process for subcontracting road transport and road transport related services (including the selection process, performance assessment and monitoring)? |  | The subcontracting written process shall describe the selection of subcontractors and shall clearly state that road transport and other road transport services will not be subcontracted until the subcontractors' safety, health, environmental, security and quality & CSR management systems have been assessed and judged to be of a comparable standard to that of the assessed company. The written process shall also state the conditions for ongoing assessment of the performance of the subcontractor. The written process should take into account any restrictions defined by the customers. This question does not apply to non-road activities. |  |
| 6.1.1.2. | Are the requirements and restrictions of the customer chemical companies (including spot subcontracting) reflected in the subcontracting written process? |  | Verify that any specific customer requirements from the chemical companies are specified in addition to the requirements set forward by the Cefic/ECTA Guidelines on subcontracting. |  |
| 6.1.1.3. | In case the subcontractors transport plastics pellets, is there a documented process defining and choosing the logistics solution and selecting the service partners, including a risk assessment covering OCS requirements? |  | The organization shall identify the selection criteria relevant to responsible pellets handling. The selection criteria could include SQAS assessment, OCS certification, ISO 14001 certification, or compliance with other equivalent standards. | M |
| **6.1.2.** | **Fully integrated road transport subcontractors/drivers (FIS)** |  | **Fully integrated subcontractors/drivers (FIS)** |  |
|  |  |  | Transportation companies can provide road transport service**s** to the assessed company as Subcontractors and can be fully integrated in the assessed company's Management System, without however losing their status as independent companies and without limiting their possibility to work for other main hauliers or as a main haulier themselves.  The following is a typical example of such an integration:  - the Subcontractor is integrated in the transport planning system of the assessed company; and  - the drivers' training of the Subcontractor is fully integrated with assessed company’s drivers training programmes; and  - the performance follow-up is identical to the assessed company, etc.  The assessor must consider FIS drivers as Main Haulier's employees in relation to SHE, Quality, Security and CSR perspective.  The fully integrated Subcontractor is completely free to set his individual standards and should therefore be carefully selected by the assessed company.  The agreement signed or reached with the Subcontractor should reflect all the standards agreed between the parties. The performance of the fully integrated Subcontractor should be monitored, and regular discussions should follow up on the improvement process.  Assessment of his performance shall be integrated in the SQAS assessment of the assessed company. If it is indicated in the PAD that fully integrated Subcontractors are not used, this chapter will be N/A. To verify the implementation of the written procedures, the assessment shall include interview with a number of drivers. |  |
|  |  |  | The assessor has to identify over the duration of the assessment at least two drivers including fully integrated subcontracted drivers (if applicable) for interview. The number interviewed should give an acceptable objective overview of the company. |  |
| 6.1.2.1. | Are the fully integrated subcontractors used by the assessed company listed in an approved subcontractors/drivers list? |  | Verify, by a sample of current transport orders, that all the hauliers are listed and approved as integrated subcontractors/drivers. |  |
| 6.1.2.2. | Are written procedures in place to ensure that fully integrated subcontractors/drivers are covered in each part of the company's management system? |  | As explained in 6.1.2 these drivers should be integrated into the management system of the assessed company like own drivers. If their trucks/trailers are not maintained/inspected as the own truck/trailers, there should be evidence that the company does a review of this maintenance/inspections. Verify by interview. |  |
| **6.1.3.** | **Non-integrated road transport subcontractors** |  | **Non-integrated road transport subcontractors** |  |
|  |  |  | A non-integrated subcontractor is, to the assessed company, a known road transport company with its own management system. The drivers stay under full control of the non-integrated subcontractor. When the Subcontractor is not fully integrated into the assessed company's Management System, the main haulier should review the standards of this Subcontractor against the criteria applied by his customer and, as best practice, against all criteria described in these guidelines. The methods used to assess a potential Subcontractor should be the choice and responsibility of the main haulier, but the SQAS scheme can provide useful support. When the potential Subcontractor is SQAS assessed, the assessed company can check the SQAS report of the Subcontractor to assess if the requirements of his customers and his own requirements are met. The SQAS report provides information on key points of HSE and Quality to the assessed company when he considers contracting with an SQAS assessed Subcontractor. In the absence of an SQAS report, the assessed company should select the criteria and verify and monitor compliance of the criteria himself. The assessed company should keep its own records of his Subcontractor’s assessments and performances regarding the subcontracting criteria of these guidelines. The Guidelines do not preclude assessed companies from entering into agreements with subcontractors that have been assessed with alternative assessment or certification systems, providing that equivalent information on HSE and Quality standards performance is supplied. If it is indicated in the PAD that non-integrated Subcontractors are not used, this chapter will be N/A. |  |
| 6.1.3.1. | Are the non-integrated subcontractors used by the assessed company listed in an approved subcontractors/drivers list? |  | Verify, by a sample of current transport service orders, that all the service providers are listed and approved as subcontractors by a responsible manager. |  |
| 6.1.3.2. | Does the assessed company hand out a driver manual as defined in 11.3.1 to drivers of non-integrated subcontractors or check that the subcontractor's handbook is consistent with its own? |  | Look for proof by way of a register that the driver's manual was handed out to all listed non-integrated subcontractors or that consistency has been checked. Verify the handbook's presence (the most recent version) when you interview drivers. When handing over the handbook, sensitive information can be deleted. Verify that the items of the question 11.3.1.4. are included in the subcontractor's manual.  This question is also applicable to a company that has only NIS (No drivers and no FISs) and does not have an own driver’s manual. The assessed company shall define and hand out the document requirements for drivers to the NIS. The assessed company shall check that the NIS’s driver manual is consistent with these requirements. | X |
| **6.1.4.** | **Unplanned spot services by road transport subcontractors** |  | **Unplanned spot services by subcontractors** |  |
|  |  |  | "Spot" is defined as sudden calls upon subcontractors through some kind of “phone book” directory selection, e.g. Internet, Minitel, yellow pages type selection. Spot selected subcontractors have to be treated like all other subcontractors, i.e. they should conform to the HSE and Quality standards set by the assessed company and its customer. If it is indicated in the PAD that spot contractors are not used, this chapter becomes NA. |  |
| 6.1.4.1. | When the assessed company has to deploy unplanned resources in the supply chain, are the minimum service requirements documented and requested of these road transport companies? |  | Look for evidence that the minimum requirements defined in 6.2.1.1.a., 6.2.1.1.e., 6.2.1.1.f., 6.2.1.1.i. and 6.2.1.1.k. have been communicated and verified. |  |
| **6.2.** | **Performance monitoring of subcontractors** |  | **Performance monitoring of subcontractors** |  |
| **6.2.1.** | **Performance criteria for Road Transport subcontractors** |  | **Performance criteria** In subsidiaries of multi-site companies, a centralized system could be present to select and monitor subcontractors. In this case, section 6.2.1. is always applicable. |  |
| 6.2.1.1. | Is there a written agreement with each road transport subcontractor (FIS and non-integrated subcontractors) that contains the requirements and standards relating to the following criteria: |  | The assessor shall check all requirements as detailed in the questionnaire. Review a sample of subcontractor files, and check-off the performance criteria that are reflected in the formal agreements with fully integrated and non-integrated subcontractors.  A formal agreement can be a contract to which all orders are related. |  |
| 6.2.1.1.a. | - compliance with all relevant national and international regulations and laws?  - operating licenses consistent with the activities and operations?  - drivers/operators holding valid ADR licenses/ certificates?  - working/driving hours compliance and keeping records?  - drugs and alcohol policy?  - appointment and fulfilment of the duties of the DGSA?  - vehicle inspection and testing?  - adequate driver selection?  - comprehensive insurance coverage?  - PPE/emergency equipment?  - security provisions as required by applicable legislation? |  | If any of these requirements is not a legal requirement in the country the assessor shall consider this specific requirement "not applicable" and write a comment.  - drivers/operators holding valid ADR licenses/certificates: Refer to EU Directives 2003/59/EC and EU 2000/56/EC.  - working/driving hours compliance and keeping records: refer to Reg. EC 561/2006 and Directive 2002/15.  - drugs and alcohol policy: Any use of alcohol and (non-medically prescribed) drugs should be prohibited.  - appointment and fulfilment of the duties of the DGSA: Refer to ADR - Chapter 1.8.3.  - vehicle inspection and testing according to ADR requirements.  - adequate driver selection: check the qualifications of the drivers in combination with legal and customer requirements (if any).  - comprehensive insurance coverage: verify that insurance covers compliance with legal and customer requirements. Can be reviewed on an annual basis.  - PPE/emergency equipment: for transport of dangerous goods the requirements are defined in ADR 8.1.5. Other requirements can depend on products (SDS) and customer requirements.  - security provisions: besides ADR / RID / ADN 1.10, other security provisions may apply depending on the logistics operation. |  |
| 6.2.1.1.b. | hose monitoring and testing? |  | The assessor should check that the company complies with national and international legislation concerning hose testing and note if certain products have additional hose testing requirements. |  |
| 6.2.1.1.c. | implementation of Behaviour Based Safety (BBS) on driving and loading/unloading according to the Cefic BBS Guidelines for safe driving and (un)loading? |  | See Cefic/ECTA "Behaviour Based Safety Guidelines for training of drivers and safe driving of road freight vehicles" and "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles". |  |
| 6.2.1.1.d. | Journey Plans including safe and secure vehicle parking? |  | This is applicable in any case. For the parking of vehicles carrying dangerous goods refer to ADR chapters 8.4., 1.10.1.3. and 1.10.3.2.2. (c).  Refer to question 11.2.1.5. |  |
| 6.2.1.1.e. | carry forward transport and customs documents to all service partners in the chain, including EIR (Equipment Interchange Receipt) if required? |  | No guidelines. |  |
| 6.2.1.1.f. | use of emergency number/emergency response capabilities? |  | This can be the use of the emergency number of the main haulier or a specific one from the subcontractor. There can also be a formal agreement with a service provider specialized in emergency response. This possibility has to be combined with an internal 24/7 manned telephone. |  |
| 6.2.1.1.g. | vehicle preventive maintenance and statutory inspection of transport equipment? |  | Compliance in accordance with applicable questions of SQAS.In some countries preventive maintenance could be a legal requirement. |  |
| 6.2.1.1.h. | use of approved tank cleaning stations? |  | To be approved by the assessed company in relation to the customers contract (if applicable) and the relevant questions of SQAS. | X |
| 6.2.1.1.i. | compliance with customers site requirements? |  | Check the instructions given to subcontractors' drivers regarding procedures at loading and unloading sites: e.g. working at height, safe tank entry procedure, sampling responsibilities and safe sampling practices, load securing, and cleanliness of equipment. Provide a positive score only if all the elements are covered, otherwise record your comments accordingly. The customers site can be the loading and/or unloading site. |  |
| 6.2.1.1.j. | adequate driver training criteria (e.g., product specific training, legal training, customer specific training)? |  | The legal supplementary training (in compliance with EU Directive 2003/59/EC) for drivers has to be seen in combination with specific product or customer training. SDS and customer requirements have to be checked. |  |
| 6.2.1.1.k. | sub-subcontracting of haulage? |  | An agreement must be in place with each subcontractor to specify whether sub-subcontracting is or is not allowed |  |
| 6.2.1.1.l. | handling and reporting of non-conformances (transport events)? |  | including accidents/incidents, near misses, ... Taking into account the ECTA coding system. This also includes defects reported by the driver. |  |
| 6.2.1.1.m. | confidentiality of operational and commercial data? |  | No guidelines. |  |
| 6.2.1.1.n. | a system to calculate transport Greenhouse Gas (GHG) emissions based on the requirements of section 9 of this questionnaire? |  | Reference to section 9. |  |
| **6.2.2.** | **Performance monitoring process** |  | **Performance monitoring process** |  |
| 6.2.2.1. | Has the company a documented process for the evaluation and performance monitoring of all its service partners? |  | Look for a sample of evaluation and performance reports and for evidence that a dialogue has taken place in a follow-up of improvement actions, through minutes of meetings and other communications. Coverage of all applicable elements as mentioned in 6.2.1.1 should be present. |  |
| 6.2.2.2. | For all service partners who are SQAS assessed: are they evaluated in their performance on the basis of the following packages: |  | Look for evidence that the company has analysed its partners' reports from the SQAS databases or alternatively has obtained extracted reports directly from the assessed companies. The analysis has to contain a conclusion, if applicable, an action plan based on the report and has to be signed by the management. The evaluation report should include the performance criteria of the written agreement according to 6.2.1.1. If the agreed criteria are not met, they should be mentioned in the action plan of the evaluation report. |  |
| 6.2.2.2.a. | SQAS Transport Service for all non-integrated road transport subcontractors? |  | The evaluation of fully integrated subcontractors is undertaken through the internal audits as described in 5.3.1.1. |  |
| 6.2.2.2.b. | SQAS Warehouse for warehousing services? |  | No guidelines. |  |
| 6.2.2.2.c. | SQAS Rail for Rail carriers? |  | No guidelines. |  |
| 6.2.2.2.d. | SQAS Cleaning for cleaning stations? |  | No guidelines. |  |
| 6.2.2.2.e. | When the SQAS reports for the cleaning stations are analysed, have the questions related to entry into a confined space been checked by the transport company? |  | No guidelines. |  |
| 6.2.2.3. | When non-integrated road transport subcontractors are not SQAS assessed, is the company using alternative assessment systems to evaluate their performance? |  | The method and areas of assessment shall be summarized in the comments. Look for evidence that the company has analysed the assessment reports of the service partners. The analysis has to highlight any shortcomings and contain a conclusion that meets the performance criteria of the written agreement according to 6.2.1.1.  Select randomly a sample of subcontractors’ files. The minimum requirements to score positively this question is: The main haulier must have a copy of the parts of the subcontractors’ drivers manual or similar (e.g. digital tools), addressing all the elements mentioned in questions 11.3.1.4. and if applicable, 11.3.1.5. and 11.3.1.6. The main haulier can carry out assessments on the site of the subcontractor, but this is not a requirement. The minimum frequency shall be one assessment every 3 years. Look for evidence that the evaluation system has led to corrective actions and dialogue with non-integrated transport subcontractors. |  |
| 6.2.2.4. | When SQAS packages are not used, are the following criteria taken into account to evaluate the non-integrated road transport subcontractors? |  | The assessor should check for the level of implementation and ongoing dialogue with the subcontractor.  From the sample taken in 6.2.2.3. check the evidence required from 6.2.2.4.a. to 6.2.2.4.n. |  |
| 6.2.2.4.a. | legal requirements as defined in section 6.2.1.1.a. |  | The main haulier must have copies of the following documents from every subcontractor:  - valid Insurance certificates required by law and/or chemical customers  - valid DGSA certificate (if applicable)  - the operator license(s). |  |
| 6.2.2.4.b. | implementation of Behaviour Based Safety (BBS) on driving and loading/unloading according to the Cefic BBS Guidelines for safe driving and (un)loading |  | A self-assessment is a minimum requirement. |  |
| 6.2.2.4.c. | drugs and alcohol policy |  | A self-assessment is a minimum requirement. |  |
| 6.2.2.4.d. | Journey Plans including safe and secure vehicle parking |  | The assessor shall check if the assessed company that acts as the Main Contractor issues Journey Plans to any Sub Contractor, including safe and secure vehicle parking. Alternatively, the assessed company that acts as the Main Contractor ensures that the Sub Contactor issues Journey Plans specific to these journeys, including safe and secure vehicle parking. |  |
| 6.2.2.4.e. | carry forward transport and customs documents to all service partners in the chain, including the EIR (Equipment Interchange Receipt) if required |  | A self-assessment is a minimum requirement. |  |
| 6.2.2.4.f. | use of emergency number / emergency response capabilities |  | A self-assessment is a minimum requirement. |  |
| 6.2.2.4.g. | vehicle preventive maintenance and statutory inspection of transport equipment |  | The main haulier must have documented evidence of spot checks evidencing preventive maintenance programme implementation and statutory inspection/testing for every subcontractor. |  |
| 6.2.2.4.h. | use of approved tank cleaning stations |  | A self-assessment is a minimum requirement. |  |
| 6.2.2.4.i. | compliance with customers' site requirements |  | A self-assessment is a minimum requirement. |  |
| 6.2.2.4.j. | adequate driver training criteria (e.g. product specific training, legal training, customer specific training) |  | The main haulier must have documented evidence of spot checks of the training programme implementation of every subcontractor. |  |
| 6.2.2.4.k. | handling and reporting of non-conformances (transport events) |  | A self-assessment is a minimum requirement. | X |
| 6.2.2.4.l. | confidentiality of operational and commercial data |  | A self-assessment is a minimum requirement. |  |
| 6.2.2.4.m. | security provisions as required by applicable legislation |  | A self-assessment is a minimum requirement. |  |
| 6.2.2.4.n. | has a system to calculate on transport GHG emissions based on the requirements of section 9 of this questionnaire ? |  | A self-assessment is a minimum requirement. |  |
| 6.2.2.4.o. | OCS requirements in case you are subcontracting transport of plastics? |  |  | M |
| 6.2.2.5. | Does the assessed company retain documented evidence that complies with the performance criteria? |  |  |  |
| 6.2.2.5.a. | was verified before the agreement, was signed with each road transport subcontractor and was repeated regularly? |  | Compliance should have been checked before the agreement was signed and be monitored at least on an annual basis. Check for documented evidence that performance monitoring has taken place. |  |
| 6.2.2.5.b. | is followed-up on a regular basis through dialogue and improvement action programmes with road transport subcontractors selected based on performance review? |  | A performance review programme has to be present (follow up of non-conformances, performance criteria, evaluation sheets, ...) in combination with an evaluation of the improvement. The selection criteria from the performance review should be dependent upon the risk impact of the road transport subcontractor. |  |
| **7.** | **Equipment: Specification, Inspection, Maintenance, and Calibration** |  | **Equipment: Specification, Inspection, Maintenance, and Calibration** |  |
| **7.1.** | **Equipment specification** |  | **Equipment specification** |  |
| 7.1.1. | Is there a written specification for the purchase or lease of each vehicle/tank/tank container and associated equipment including the following items: |  | Check the latest specification and the contract for a recently purchased vehicle or tank container, including associated equipment e.g. hoses, gaskets. Regulated items such as seatbelts, dead angle mirrors, ... must always be present. All required non-regulated items must be included in the purchase of the equipment. |  |
| 7.1.1.a. | air conditioning? |  | It has been proved that air conditioning improves the driver's concentration, thus enhancing safe driving in general. Additionally, the wearing of clothes covering the whole body indirectly contributes to safety, as it will reduce injury in case of sudden contact with chemicals. |  |
| 7.1.1.b. | roll-over detection warning system? |  | A warning system to signal the risk of a roll-over to the driver's dashboard is a basic level of protection, and this should be distinguished from the Electronic Stability Programme (see 7.1.1.d) which provides a superior level of safety assurance. |  |
| 7.1.1.c. | interlocking of the fifth wheel coupling? |  | The interlock system prevents driving away when the fifth wheel is not locked. The system can be mechanical and/or electronic. |  |
| 7.1.1.d. | Electronic Stability Control? |  | Electronic Stability Control (ESC) is the generic term for systems designed to improve a vehicle's handling, particularly at the limits where the driver risks losing control of the vehicle. Truck manufacturers use a range of different marketing names (ESP, VSA, DSC, CST, VDC, etc.). ESC compares the driver's intended direction in steering and braking inputs to the vehicle's response, and corrects via lateral acceleration, rotation (yaw) and individual wheel speeds and helps the driver maintain control of the vehicle. |  |
| 7.1.1.e. | retro-reflective back and side markings? |  | Retro reflective back and side markings run over the contour of the back and side of the trailer (legal requirement). |  |
| 7.1.1.f. | forward distance alert system? |  | This system warns the driver when his truck is too close to an object (car, other truck, ... ) in front of him in relation to his speed. An automatic braking /slow down system is optional. |  |
| 7.1.1.g. | lane departure system? |  | A lane departure warning system is a mechanism designed to warn a driver when the vehicle begins to move out of its lane. |  |
| 7.1.1.h. | driver falling asleep guarding systems? |  | No guidelines. |  |
| 7.1.1.i. | blocking system for communication during rolling? |  | A system that automatically blocks every communication (mobile phone, data receivers) during rolling should be installed. When standing still the system can allow all communications. |  |
| 7.1.1.j. | safe access to all loading/unloading equipment? |  | Safe access to all equipment is always necessary. E.g., when 30 ft. chassis are used for the transport of 20 ft. containers, the foot valve must be reached without the risk of falling. Always to be commented. |  |
| 7.1.1.k. | truck management system? |  | A truck management system, interfaced with a central fleet management tool, allows the company to actively coach the drivers. This system transmits data about fuel economy, safe driving performance, use of brakes, driver behaviour and other useful information. It can be used in the BBS programme of the company. |  |
| 7.1.1.l. | remote controlled bottom valve when liquids are transported? |  | When tanks containing liquids are discharged under pressure, the driver must be able to close the valve from a remote position if the connection is leaking. |  |
| 7.1.1.m. | ground operated vent valve? |  | This helps to reduce the need to work at height on top of tankers. The assessor will ask for a purchase order in the last 3 years. If no purchase is available, the question will not be applicable. |  |
| 7.1.2. | Is a DIN 80 PN 10 flange available between the outlet valve and the cap of every (un)loading connection? |  | See section 12.3. of the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles". |  |
| **7.2.** | **Equipment Inspection, Maintenance and Calibration** |  | **Equipment Inspection, Maintenance and Calibration** |  |
|  |  |  | This section also applies to those instances whereby preventive inspection and/or maintenance are being outsourced. It is expected that in this case the haulage company will have a follow-up system in place. A quality Transport Service should only use reliable equipment. This section seeks to ensure that effective routine inspection and maintenance programmes are in place, which requires that equipment (owned or leased) is adequately serviced, lubricated, adjusted, and otherwise maintained, to prevent abnormal wear and tear, and to detect defects before they cause accidents or breakdowns. In quality Transport Service companies, abnormal wear, accidental damage and abuse detected through preventive inspections will be investigated. Controls over subcontracted equipment are covered in section 6 on Management of Subcontractors. |  |
|  |  |  | Repair and replacement costs, associated with this abnormal wear, etc., will be recorded and analysed as loss data and will require similar remedial and follow-up actions as for other accidental losses. Results from preventive inspections should be adopted in the regular maintenance programme. |  |
| **7.2.1.** | **Equipment Inspection and Maintenance** |  | **Equipment Inspection and Maintenance** |  |
|  |  |  | Maintenance should be carried out on all moving equipment. This must be seen as separate from the regulatory inspection of the vehicle. There should be a program developed, installed and documented. Findings from the regular maintenance should be included in the inspection programme and vice versa. |  |
| 7.2.1.1. | Is there a documented programme for preventive inspection and maintenance covering the following items: |  | Preventive maintenance is a maintenance that is regularly performed to lessen the likelihood of failure. It is planned and executed before the failure occurs. It is usually based on recommendations from the equipment manufacturers. Score a "Yes" for each item that is included in the programme and is serviced in accordance with that programme, and which can be confirmed from records.  If maintenance has been outsourced, the company must have a detailed follow-up system to ensure that maintenance is undertaken according to agreed specifications. |  |
| 7.2.1.1.a. | tractor units? |  | No guidelines. |  |
| 7.2.1.1.b. | trailers? |  | No guidelines. |  |
| 7.2.1.1.c. | tanks/tank containers? |  | No guidelines. |  |
| 7.2.1.1.d. | pumps? |  | No guidelines. |  |
| 7.2.1.1.e. | compressors? |  | No guidelines. |  |
| 7.2.1.1.f. | tyres? |  | No guidelines. |  |
| 7.2.1.1.g. | earthing points? |  | No guidelines. |  |
| 7.2.1.1.h. | twist locks? |  | Twist locks are applicable to the carriage of swap bodies, tank containers and other containerized traffic. |  |
| 7.2.1.1.i. | cargo securing devices and materials? |  | Load securing devices like anti-slip material, lashes. Materials such as fixed lashing eyes, trailer floors, curtains, side planks, etc. |  |
| 7.2.1.1.j. | ADR equipment? |  | Drain seals, eye wash bottles, etc. according to ADR 8.1.5. |  |
| 7.2.1.1.k. | valves and relief valves? |  | No guidelines. |  |
| 7.2.1.1.l. | couplings? |  | No guidelines. |  |
| 7.2.1.1.m. | gaskets/seals? |  | No guidelines. |  |
| 7.2.1.1.n. | gauges? |  | Pressure, temperature, level gauges. |  |
| 7.2.1.1.o. | temperature control units? |  | To accurately control the temperature of a temperature-controlled unit without extensive operator involvement, a temperature control system relies upon a controller, which accepts a temperature sensor such as a thermocouple or RTD as input. It compares the actual temperature to the desired control temperature, or set point, and provides an output to a control element. These units can be mounted on reefers, tanks, coolers, both cooled and heated. |  |
| 7.2.1.2. | Is there a written procedure and register in place for the periodic (at least annual) testing of flexible hoses, which includes the following elements: |  | This question applies both to liquid and dry bulk unloading hoses. Flexible hoses are critical equipment as hose breaks could cause severe health and environmental damage. All hoses should be uniquely identified, labelled and inventoried in a database to facilitate a maintenance/testing programme and follow-up. Verify the testing written procedure and score a "Yes" for each element reflected in the written procedure. Check also that this implemented. |  |
| 7.2.1.2.a. | compatibility of the hose and cargo? |  | No guidelines. |  |
| 7.2.1.2.b. | identification of different types and numbering? |  | No guidelines. |  |
| 7.2.1.2.c. | periodic inspection and recording of results? |  | No guidelines. |  |
| 7.2.1.2.d. | periodic pressure testing? |  | Backed up by specifications of the hoses used and other industry publications. |  |
| 7.2.1.2.e. | electrical conductivity? |  | The assessor will check the electrical conductivity requirements as mentioned by the assessed company, either in a written procedure or on the certificates in use, and be able to trace this requirement to a company decision, e.g. based on industry publications. A good indication is that the hoses must not have a resistance higher than 10 ohms measured between nipples (end flange to end flange). |  |
| **7.2.2.** | **Calibration of Measuring Equipment** |  | **Calibration of Measuring Equipment** |  |
| 7.2.2.1. | Has the assessed company a register of measuring equipment to be calibrated? |  | Look for a register of measuring equipment based on the general risk assessment e.g. equipment for work in confined spaces. EN 482/2012 + A1:2015. |  |
| 7.2.2.2. | Are written calibration procedures and records in place, including the identification of the following measuring equipment? |  | Calibration, if performed in-house, should be undertaken by people who have been properly trained and are working to verified procedures. Alternatively, calibration may be undertaken by a qualified contractor certified to ISO 9001 by an accredited certification body, or any other equivalent certification scheme that requires calibration of the instruments used. In the latter case, a formal agreement specifying the requirement for, and the frequency of, calibration should exist between the haulier and the calibration contractor. Ask to see a copy of the procedures and a list of all the items identified for calibration. |  |
| 7.2.2.2.a. | oxygen meters? |  | Calibration and justification of gas detectors for oxygen is regulated by the Directive 2014/34/EU. Also the European norm EN 60079-29-2 "Explosive atmospheres - Part 29-2: Gas detectors - Selection, installation, use and maintenance of detectors for flammable gases and oxygen" should be taken into account. Auto-calibration is a possibility. |  |
| 7.2.2.2.b. | flammable gas detectors? |  | Calibration and justification of gas detectors for oxygen is regulated by the Directive 2014/34/EU. Also the European norm EN 60079-29-2 "Explosive atmospheres - Part 29-2: Gas detectors - Selection, installation, use and maintenance of detectors for flammable gases and oxygen" should be taken into account. Auto-calibration is a possibility. |  |
| 7.2.2.2.c. | instruments for measuring concentrations of toxic gases and vapours? |  | If there is a danger of being overcome by toxic gases and vapours, such instruments should be present. Several of these devices comprise measurement tubes that cannot be calibrated. In such cases, check the expiration dates. Refer to EN 45544. |  |
| 7.2.2.2.d. | temperature gauges? |  | Only applicable for temperature gauges that have to measure an exact temperature. Not applicable for indicative devices. |  |
| 7.2.2.2.e. | tyre pressure gauges? |  | If the company is undertaking their own tyre management, the calibration record of the device has to be present.  If it is subcontracted, acceptable evidence is that the subcontractor is certified to ISO 9001 by an accredited certification body, or any other equivalent certification scheme that requires calibration of the instruments used. |  |
| 7.2.2.2.f. | torque wrenches for tightening wheel nuts? |  | If the company is undertaking their own tyre management, the calibration record of the device has to be present.  If it is subcontracted, acceptable evidence is that the subcontractor is certified to ISO 9001 by an accredited certification body, or any other equivalent certification scheme that requires calibration of the instruments used. |  |
| **8.** | **Behaviour Based Safety (BBS or equivalent programme)** |  | **Behaviour Based Safety (BBS or equivalent programme)** |  |
| **8.1.** | **Behaviour based safety for safe driving** |  | **Behaviour based safety for safe driving** |  |
|  |  |  | See the Cefic/ECTA "Behaviour Based Safety Guidelines for training of drivers and safe driving of road freight vehicles" <https://cefic.org/library-item/behaviour-based-safety-guidelines-training-drivers-safe-driving-road-freight-vehicles> |  |
| **8.1.1.** | **BBS Training for Safe Driving** |  | **BBS Training for Safe Driving** |  |
| 8.1.1.1. | Is BBS taken into account when reviewing the training requirements of managers and planners? |  | Although mainly focused on the drivers, BBS must be fully integrated in the carrier’s organization and become an integral part of the company’s culture. Not only drivers, but also ancillary and administrative staff should be trained in, and understand the principles of BBS. Look for training records and awareness. |  |
| 8.1.1.2. | Have persons been formally selected and designated as qualified BBS trainers, in accordance with the requirements as defined in the Cefic/ECTA BBS guidelines? |  | Refer to the guidelines mentioned in 8.1. |  |
| 8.1.1.3. | Has the BBS driver training content (or equivalent system) and format (based on observation, coaching and interactive communication) been developed and is it in line with the Cefic/ECTA BBS guidelines? |  | Check if the training content and format reflect the spirit of the BBS guidelines (or equivalent system) i.e. are carried out on a one-to-one basis between the trainer and the driver, with the trainer observing and coaching whilst addressing the behavioural driving skills of the driver. |  |
| 8.1.1.4. | Has the BBS driver training frequency been defined and is it implemented? |  | Check the training plan and its implementation by interviewing drivers. The frequency may vary between once every 1 to 5 years, depending on the annual performance review of each individual driver. The BBS training can be combined with the training as described in EU Directive 2003/59/EC. |  |
| 8.1.1.5. | Is a personal BBS-record kept on each driver, including the fully integrated subcontractors, with the observations made on their behavioural skills? |  | Check the training records. Any person employed for longer than three months has to be fully trained. Others have to be included in the programme. Comments to be always included . This question is also applicable to fully integrated subcontractors (drivers). |  |
| **8.1.2.** | **BBS Results, Analysis and Monitoring** |  | **BBS Results, Analysis and Monitoring** |  |
| 8.1.2.1. | Are individual results from the BBS training communicated to the driver, preventive actions agreed, recorded and followed-up? |  | Check the training and individual driver records. Ask drivers (and fully integrated subcontractors) if they are informed about the outcome of their BBS training and its follow up. |  |
| 8.1.2.2. | Are key performance indicators identified and measured, such as: |  | The assessed company should ensure that the annual data collection of the KPI’s and reporting is incorporated into their management system. (The ECTA RC programme and KPI reporting could be the reference point for companies to use). The KPIs should measure the frequency of accidents/incidents by worked hours. For KPI analysis purposes assume that each employee works 2000 hours per working year. |  |
| 8.1.2.2.a. | - accidents and incidents whilst in transit? |  | Check the incident reports (refer to question SQAS Core 5.1.1.a.) and the individual driver records. | M |
| 8.1.2.2.b. | - accidents and incidents at loading points? |  | Check the incident reports (refer to question SQAS Core 5.1.1.a.) and the individual driver records. | M |
| 8.1.2.2.c. | - accidents and incidents at unloading points? |  | Check the incident reports (refer to question SQAS Core 5.1.1.a.) and the individual driver records. | M |
| 8.1.2.2.d. | Lost Time Injury Rate? |  | Lost Time Injury refers to the occurrence of workplace incidents that resulted in an employee's inability to work the next full working shift. Lost Time Injury rate refers to the number of such injuries that occur per year and per million Kilometers operated.  Example: A company had 5 lost time injury (LTI) incidents in one year. The number of Kilometers operated were 10 million. The Lost Time injury Rate will be: 5 lost time injury accidents / 10 million Kilometers operated = 0.5 LTI / million km. The Personal Injury Rate should be measured by transport companies for their own employees and their contractors' drivers (FIS). This KPI is related to the company's performance. |  |
| 8.1.2.2.e. | Personal Injury Rate? |  | Personal Injury refers to the occurrence of workplace incidents that resulted in any injury to the employee. Personal Injury Rate refers to the number of such injuries that occur within a year and per 1 million km operated. The Personal Injury Rate should be measured by transport companies for their own employees and their contractors' drivers (FIS) per 1 million km operated. This KPI is related to the company's performance. |  |
| 8.1.2.2.f. | average days of training per year? |  | This KPI should be measured for own employees (drivers and office staff) and sub contracted drivers (fully integrated). This KPI measures the number of training days per driver/office staff per year. See ECTA reporting requirements if clarification is required. This KPI allows the LSP to express the impact of investments in training. This KPI is related to the company's performance. |  |
| 8.1.2.2.g. | damages? |  | For fully integrated subcontractors the assessor has to check if a process is in place and if files are available and include a follow-up. |  |
| 8.1.2.3. | Is an implementation programme in place for the observation and spot checking of drivers in relation to the performance of the driver? Are daily check lists recorded by drivers included in the spot checks? |  | Check if any of the mechanisms referred to in the "Behaviour Based Safety Guidelines for training of drivers and safe driving of road freight vehicles" (item 10), or equivalent system, have been implemented. |  |
| 8.1.2.4. | Are the results and learning outcomes from BBS reflected in the refresher programme? |  | Check that the overall results and trends as identified in 8.1.2.2. a to g, and 8.1.2.3 are documented as learning experience and included in the refresher training. |  |
| **8.2.** | **Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles** |  | **Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles** |  |
| 8.2.1. | Has the management also adopted the Cefic/ECTA guidelines on "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles"? |  | Check a project file for a documented implementation plan and up to date status. Check whether observations/results reported by Loading/Unloading sites and/or drivers are filed, reported to drivers/customers, analysed and used by the carrier to trigger corrections and improvements. |  |
| **8.3.** | **Awareness of all service partners** |  | **Awareness of all service partners** |  |
| 8.3.1. | Does the company promote and monitor the implementation of the following BBS principles with its service partners: |  | Active promotion towards all service providers should be present. This can be included in the written agreement, in the training or information sessions with the service providers, or by means of other communication tools. Promoting BBS is important, but monitoring the follow-up is even more important. Means of monitoring can include that the company stays informed about the number of BBS introduced at the service provider, providing the BBS (for integrated subcontractors), or yearly evaluation. |  |
| 8.3.1.a. | - driving? |  | No guidelines. |  |
| 8.3.1.b. | - loading? |  | No guidelines. |  |
| 8.3.1.c. | - unloading? |  | No guidelines. |  |
| 8.3.1.d. | - cleaning? |  | No guidelines. |  |
| **9.** | **Measurement and Management of transport greenhouse gas (GHG) emissions**  **This section follows a hierarchy of questions, every question requires a more detailed calculation than the precedent one.**  The graph below shows the logistics service providers, and their relationship, that are taken into account in the calculation of GHG emissions. |  | **Measurement and Management of transport greenhouse gas (GHG) emissions**  The European Commission plans to establish a European framework for the harmonized measurement of transport and logistics greenhouse gas emissions, based on global standards, which could then be used to provide businesses and end-users with an estimate of the carbon footprint of their choices, and increase the demand from end-users and consumers for opting for more sustainable transport and mobility solutions.  In the Sustainable and Smart Mobility Strategy published by the European Commission in Dec 2020 the following objective was defined:  90% reduction in greenhouse gas emissions **in transport** by 2050, compared to 1990. |  |
| **9.1.** | **Scope 1:** Emission measurement of vehicles that are owned or controlled by the company. |  | **Scope 1** emissions include the direct emissions from  assets that are owned or controlled by the assessed  company using fuels that are paid by the company. This includes the combustion of solid or liquid fuels purchased to produce energy, heat or steam for use in stationary or mobile equipment (e.g. trucks, vehicles, generators).  **FIS are not included in these questions.** |  |
| 9.1.1. | Does the assessed company have a system to collect data enabling energy (fuel)-based calculation of its transport GHG emissions for all trucks whose fuel is paid for by the company? |  | The system should cover all types of fuels used by the company. In this section the expression "assessed company" has the same meaning as that in the other parts of the questionnaire: it refers to the company located at a specific site. If the assessed company does not operate its own trucks, this question is not applicable.  The assessed company needs to have a system to record the following data: - consumed fuel for each fuel type (e.g. via the fuel purchase invoices) The company could consume different fuels, for example: - diesel  - diesel/biodiesel blend - biodiesel - CNG/LNG - hydrogen - etc. - total mileage driven (e.g. via the Odometer on a periodical basis) - transported tonnage (e.g. via transport orders) |  |
| 9.1.2. | Does the assessed company have a system to annually calculate transport GHG emission intensity (expressed as kg CO2 equivalent per tkm) using the data collected in question 9.1.1.? |  | **kg CO2e** means **kg CO2 equivalent**: it is a unit that describes the impact of different greenhouse gases as a single measure related to the global warming potential of carbon dioxide. |  |
| 9.1.3. | Does the company know the fuel consumed by **transport/business category** on an annual basis? |  | A company could have different transport/business categories: - bulk truck (liquid/solid)  - packed goods  - refrigerated trucks - etc. To score the question positively the company should measure the fuel consumed for every transport/business category and every type of fuel consumed. In case the exact amount is not known a reasonable estimate will be accepted.  For a detailed explanation of transport categories see the **GLEC framework guideline: "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting". Last version. Module 5** <https://www.smartfreightcentre.org/en/downloads/> |  |
| 9.1.4. | Did the company calculate the emissions **TTW** from the fuel consumed during the last year using the formula: kg CO2e = Σ (fuel (litres) × TTW fuel emission factor (kg CO2e/ litres fuel))? |  | The company will use fuel emission factors from the **GLEC framework guideline: "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting" last version**. The document can be downloaded from this link:<https://www.smartfreightcentre.org/en/downloads/>  For every type of fuel three factors can be used: **WTT, TTW and WTW.**  - **Well-to-Tank** **(WTT):** WTT emissions consist of all processes between the source of the energy (the well) through the energy extraction, processing, storage and delivery phases up until the point of use (the tank)  - **Tank-to-Wheel (TTW): t**hese are the emissions from fuels combusted to power activities (the wheel).  - **Well-to-Wheel (WTW):** these are emissions from the full fuel life cycle and should be equivalent to the sum of WTT and TTW emissions.  **For this question TTW should be used.** |  |
| 9.1.5. | In case the company store/handles goods on own site or at own intermediate step prior to reaching the final destination: are **TTW** emissions in kg CO2e from fuel consumed calculated? |  | In case a shipment needs intermediate handling before going on to the final destination, the company should have a system in place to calculate the additional energy consumption.  If goods are stored in a warehouse, refer to SQAS 2022 Warehouse questionnaire section 10.3. for calculation of the energy consumption.  Fuel or gas used for heating of offices of the company shall not be included. Nevertheless, the company is encouraged to measure and reduce this consumption of energy, although this will not be taken into account for the scoring of the question. |  |
| 9.1.6. | Did the company calculate the **Scope 1 emissions?**  kg CO2e = Addition of questions 9.1.4. and 9.1.5. |  |  |  |
| 9.2. | **Scope** 2: Emissions from electricity |  | **Scope 2 emissions** are indirect emissions from the  production and distribution of electricity, heat and  steam purchased by the assessed company for use in  its own logistics sites, electric vehicles or other owned  asset requiring electricity. |  |
| 9.2.1. | Did the company measure the electricity purchased for use in its logistics sites, electric vehicles or other owned assets requiring electricity? |  | Electricity bills provide the most accurate information  on electricity used.  Typical energy consumptions come from vehicles running with batteries and electricity used for heating/refrigeration and lighting.  Electricity consumed by offices of the company does not need to included. Nevertheless, the company is encouraged to measure and reduce this consumption of energy,. |  |
| 9.2.2. | Did the company calculate the **Scope 2 emissions from the purchased electricity WTT** mentioned in 9.2.1 during the last year with the formula: kg CO2e = Σ (electricity (kWh)× electricity emission factor (kg CO2e/ kWh electricity)) |  | TTW is considered to be zero for electricity, all emissions are in the WTT stages at the point of use.  **The emission factors to be used depend on the electricity origin**. Companies must gather electricity emission factors for the countries or regions where the logistics sites are located.  Batteries of vehicles are usually charged overnight but can also be charged on the road. Electricity factors by country can also be obtained from the International Energy Agency (IEA): <https://www.iea.org/data-and-statistics/data-product/emissions-factors-2020#emissions-factors> (fee to be paid).  In absence of other data, an EU average electricity factor of 420 g CO2e/kWh can be assumed (source: GLEC framework guideline). Use of individual country mixes may give significantly different values, especially in countries with a highly decarbonized electricity supply. |  |
| 9.3. | Scope 3 |  | **Scope 3 emissions** are indirect emissions from the  assessed company’s supply chain.  This includes emissions from subcontractors and subcontracted services (e.g. warehousing, tank cleaning).  Scope 3 also covers the production and distribution of fuels burned in Scope 1 (WTT), transport emissions embedded within purchased goods and services, product use and end-of-life.  In case of multisite assessments, the Headquarter could consider its subsidiaries as Scope 3, 2 or 1, it is up to the company to decide. Whatever the approach is, the following principles will be met:   * GHG emissions at subsidiary level should be available * It should be assured that there is no double counting between emissions from HQ and subsidiaries * In the management review of the HQ (SQAS 2022 Rev, section 5.4), the GHG emission measuring and reduction programme of the subsidiaries will be analysed and decisions to reduce emissions will be taken. |  |
| 9.3.1. | Fully Integrated subcontractors and Non-Integrated subcontractors |  | If the assessed company does not operate FIS or NIS, this section is not applicable. |  |
| 9.3.1.1. | Does the assessed company have a system to collect data enabling activity-based calculation of the transport WTW GHG emissions from their Fully Integrated Subcontractors (FIS) and or Non-Integrated subcontractors (NIS)? |  | There are two approaches to calculate GHG emissions from transport activities: “activity based” and “energy based”.  In the “activity based” calculation, the GHG emissions are obtained by multiplying the tonne-kilometres by an emission factor.  In the “energy based” calculation, the GHG emissions are obtained by multiplying the actual fuel consumed by a standard emission conversion factor. This method is more precise than the “activity based” approach.  In case the main haulier outsources transports to FIS/NIS, the assessed company must know the quantity of these outsourced tonnes and kilometres If the subcontractor does not provide the information, the tkm driven can be estimated, provided that the estimation is made for every transport order.  If the fuel consumed by the subcontractor is known, the calculation of the GHG emissions should be carried out as indicated in section 9.1 |  |
| 9.3.1.2. | Does the company calculate the WTW emissions from FIS and/or NIS? |  | For the calculation of the GHG transport emissions the company should use the GLEC framework guideline: "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting" scope 3, latest version. The document can be downloaded from this link: <https://www.flexmail.eu/f-844a1f54174eb51e> |  |
| 9.3.2. | Intermodal/ Multimodal  **This section follows a hierarchy of questions, every question requires a more detailed calculation than the precedent one.** |  | This section is only applicable when the transport company **includes intermodal/multimodal transport in its services.** **Intermodal** is a transportation of goods, in one and the same intermodal transport unit, by successive modes of transport without handling of the goods themselves when changing modes. This term is usually used when road and rail are involved. The intermodal transport unit can be a container, swap body or a road or rail vehicle or a vessel. **Multimodal**: Transport of goods by at least two different modes of transport. Intermodal transport is a particular type of multimodal transport, often based on a contract regulating the full multimodal transport. Usually **rail or waterborne services (inland waterways and short sea)** are used with road feeder movements at one or both ends.  The tonnes and Kilometers should also include any **sub**-**subcontracted** transport company that is transporting the load requested by the main haulier. |  |
| 9.3.2.1. | Does the assessed company have a system to calculate activity based WTW GHG emissions of the intermodal transportation? |  | The calculation of the emissions can be made by using **composite factors** or **by the addition of the emissions of the different legs of every shipment**.  A **leg** refers to the starting point and ending point of a shipment that uses the same transportation mode.  For the calculation method see the **GLEC framework guideline: "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting". Last version. Module 5.**<https://www.smartfreightcentre.org/en/downloads/> |  |
| 9.3.2.2. | Does the assessed company have a system to collect data enabling calculation of the transport GHG emissions of the road, rail and waterborne services legs? |  | The company will have to able to collect data of the emissions, tonnes and kms of every leg of every shipment transported. |  |
| 9.3.2.3. | Does the assessed company calculate the GHG emissions of all legs involved? |  | If the road leg of the shipment is made by own trucks the emission calculation of this leg will be included in section 9.1. (Scope 1) or 9.2. (Scope 2). If it is subcontracted will be included in 9.3.1. (Scope 3).  For the calculation of the rail and waterborne legs the company will use **GLEC framework guideline: "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting". Last version. Module 5:** <https://www.smartfreightcentre.org/en/downloads/>    In case the number of shipments does not justify manual calculations, the company can use IT providers. As examples, see <https://www.smartfreightcentre.org/en/working-with-sfc-accredited-partners-1/>  **The WTW factors will be used.** |  |
| 9.3.3. | Tank cleaning stations |  |  |  |
| 9.3.3.1. | In case the company transport liquid/solid bulk and use tank cleaning stations, are WTW GHG emissions corresponding to the cleanings calculated?  kg CO2e = Number of cleanings made in the last year x kg CO2e/ cleaning |  | Typically, fuel/ gas is used in tank cleaning stations for the boiler(s) and electricity is used to move pumps. The transport company must request the tank cleaning stations the emission factors to be used. Refer to **SQAS 2022 TC questionnaire, section 9.1.6**, to see how emissions are calculated. |  |
| 9.3.4. | Subcontracted storing/handling of goods |  |  |  |
| 9.3.4.1. | In case that the company subcontracts storing/handling of goods at any intermediate step prior to reaching the final destination: are **WTW** emissions in kg CO2e from energy consumed calculated? |  | In case a shipment needs subcontracted intermediate handling before going on to the final destination, the company should have a system in place to calculate the additional energy consumption.  If goods are stored in a warehouse, refer to **SQAS 2022 Warehouse questionnaire, section 10.3.** for calculation of the energy consumption |  |
| 9.3.5. | Production and Distribution of fuels burned in Scope 1 |  |  |  |
| 9.3.5.1. | Did the company calculate the absolute emissions **WTT** from the fuel consumed during the last year using the formula: kg CO2e = Σ (fuel (litters) × WTT fuel emission factor (kg CO2e/ litters fuel))? |  | The factor should be obtained from the "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting" latest version. Module 1. |  |
| 9.3.6. | Calculation of Scope 3 emissions |  |  |  |
| 9.3.6.1. | Did the company calculate Emissions of **Scope 3** with the following formula?  **kg CO2e= Addition of questions of subsection 9.3** |  | The following questions should be added: 9.3.1.2. +(9.3.2.1. or 9.3.2.3.) + 9.3.3.1. +9.3.4.1. + 9.3.5.1. |  |
| 9.4. | **Calculation of Total emissions (Scope 1, 2 and 3)** |  | Measurement of total emissions is necessary because it has a direct impact on global warming. |  |
| 9.4.1. | Did the company calculate the **Total emissions** during last year **by addition of Scope 1, 2 and 3 emissions?** |  | The following questions should be added: 9.1.6. + 9.2.2. + 9.3.6.1. |  |
| 9.5. | **Calculation of Tonnes-km** |  |  |  |
| 9.5.1. | Does the company know the tonnes of product transported and Kilometers driven (both laden and empty) **associated with each category** specified in 9.1.3.? |  | In case of bulk, the tonnes (**payload)** is the net weight of the product (without considering the weight of the tank/container). In case of packed goods, the weight should include **the product and the packaging provided for transport by the shipper**; additional packaging or handling equipment used by the LSP **should not be included in the calculation.**  For additional explanation see the GLEC framework guideline: "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting". Last version. Module 5. <https://www.smartfreightcentre.org/en/downloads/> |  |
| 9.5.2. | Did the company calculate the tonnes-Kilometers (tkm) during the last year **by transport order and by category** with the formula?  Σ tkm by **transport category** = (ton shipment 1 x km shipment 1) + (ton shipment 2 x km shipment 2) +…. + (ton shipment n x km shipment n) |  | The assessor will take a sample of transport orders and will ask the company how the tons and km transported were calculated. |  |
| 9.6. | **Calculation of emission intensity** |  | **Emission intensity** is a key measurement in a transport company and the objective is to decrease it. If a company, for example, changes the fuel consumed from diesel to alternative fuels or to transport modes of lower emissions (e.g. road to rail), the emission intensity will decrease.  The emission intensity is affected by **empty running** (distance travelled without a load) and the **load factor** (percentage of the available capacity utilized on a loaded trip). Higher empty running and partial loaded trips will increase the emission intensity.  Nevertheless, the **density of the load** also affects the emission intensity: products with low density increase the emission intensity, but this increase does not necessarily mean a decrease in the transport performance of the transport company.  Of the several ways available to measure the emission intensity **SQAS adopted the emission by tonne-km.**  The assessor will not include information about emission intensity, absolute emissions or tonnes-km in the comments of the questions as objective evidence. |  |
| 9.6.1. | Did the company calculate the **emission intensity by transport category** during the last year using the formula:  Emission intensity factor by transport category (g CO2e/tkm) = **Total emissions** obtained from 9.4.1. by category x 1000 / **tkm by category** calculated in 9.5.2. |  | For an explanation on how to calculate emissions by transport categories see the **GLEC framework guideline: "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting". Last version. Module 5** <https://www.smartfreightcentre.org/en/downloads/> |  |
| **9.7.** | **Consolidating and reporting emissions** |  |  |  |
| 9.7.1. | Does the company consolidate in a report the total annual emissions in the following form?   * Scope 1 (question 9.1.6.) * Scope 2 (question 9.2.2.) * Scope 3 (question 9.3.6.1.) * Total emissions (question 9.4.1.) * Emission intensity by transport category (question 9.6.1.) |  | For calculations see the GLEC declaration, page 50ff of the GLEC framework guideline, last version**.** |  |
| **9.8.** | **Training** |  | The assessor will look for evidence of a suitable training programme and its delivery into individual personnel files. |  |
| 9.8.1. | Are transport planners trained in payload optimization and empty mileage reduction? |  | Refer to the Cefic/ECTA guidelines "How to reduce time spent by drivers on site and improve their treatment" Section 2.1. The assessor will look for evidence of training/induction training plan records or previous experience records. |  |
| **9.9.** | **Reducing emissions** |  |  |  |
| 9.9.1. | Defining strategy, objectives and programme  **The first three questions of this section follow a hierarchy: every question has a level of requirement higher than the precedent one** |  |  |  |
| 9.9.1.1. | Has the company defined a **strategy** to reduce its transport GHG emissions, based on the measurements made in 9.7.1.? |  | Km driven can be laden or empty. One of the potential ways to reduce the emission intensity is reducing the empty km driven. Another way is to increase the payload per trip. |  |
| 9.9.1.2. | Has the company defined the **objectives** to reduce its **emission intensity**, based on the measurements made in 9.6.1. in a multiannual programme? |  | The assessor will check if the reduction is in line with the objective indicated in guideline of question 9, Sustainable and Smart Mobility Strategy. |  |
| 9.9.1.3. | Do the objectives include a reduction of the **total emissions as** calculated in 9.4.1., in the multiannual programme? |  | The assessor will check if the reduction is in line with the objective indicated in question 9. |  |
| 9.9.1.4. | Does the assessed company have a multiannual **programme** to reach the objectives mentioned in 9.9.1.2 or 9.9.1.3? |  | The programme could be in partnership with FIS or with customers.  To score one, the assessor will check that there is a detailed programme with responsible people and due dates. The programme will include intermediate steps and following up at least on a yearly basis. |  |
| 9.9.1.5. | Does the company include multimodal transportation options to reduce GHG emissions? |  | Local legislation should be taken into account to define the applicability of the question (distance criteria). In general the question is not applicable when the distance between the origin and final destination is less than 100 km |  |
| **10.** | **Security** |  | **Security** |  |
| **10.1.** | **Security in transport** |  | **Security in transport** |  |
| 10.1.1. | Does the company implement measures to ensure the security of the products and transport information throughout the chain of its service partners, including at: |  | Logistics information must be protected and secured within the IT systems. Check that the IT systems of the company are secured appropriately. An additional option is to include a Secrecy Clause in the employment contract which is filed in the Human Resource Department. Check contracts with service partners for security clauses, requirements, and approved supplier lists. |  |
| 10.1.1.a. | depots and vehicle parking? |  | No guidelines. |  |
| 10.1.1.b. | cleaning stations? |  | No guidelines. |  |
| 10.1.1.c. | at the interface with any subcontracted road transport company? |  | No guidelines. |  |
| 10.1.1.d. | at the interface with intermodal transport? |  | No guidelines. |  |
| 10.1.2. | Is the handover/transfer of security, with the associated responsibilities, signed and documented? |  | Check for documented evidence. As an example, an EIR (Equipment Interchange Receipt) could be used. |  |
| 10.1.3. | Are devices, equipment or arrangements to prevent the theft of vehicles applied and are measures taken to ensure that these are operational and effective at all times? |  | Check the type of anti-theft devices, equipment or arrangements and their effectiveness in practice. |  |
| 10.1.4. | Are truck cabs fitted with access control systems? |  | Unauthorized truck cabin access must be detected and an alarm system activated to notify the driver. Drivers who have an access card, password or a positive recognition system (eyes recognition) are enabled to enter the truck cabin. Unauthorized entry will trigger an alarm in the home base computer systems and an immobilizer will be activated. |  |
| 10.1.5. | Are trucks fitted with an engine starting control system? |  | Trucks must be fitted with engine-starting electronic blocking system (sometimes called an immobilizer). |  |
| 10.1.6. | Are trailers irrespective of the type fitted with security device(s) preventing theft when they are decoupled? |  |  |  |
| 10.1.7. | Where applicable, has the company developed and implemented security provisions for transport of sensitive products (high value products, explosive precursors, chemical weapons precursors or illicit drug precursors)? |  | High value products are those defined by the customer, local legislation/requirements for national transport or CMR requirements. Check documents and interview drivers. |  |
| 10.1.8. | Is a procedure in place to ensure that security incidents regarding sensitive products are immediately reported to customers and authorities? |  | Check documents, interview drivers and operational manager. |  |
| **10.2.** | **Security during handling of High Consequence Dangerous Goods** |  | **Security during handling of High Consequence Dangerous Goods** |  |
|  |  |  | If the LSP has no HCDG, chapter 10.2. has to be scored with n.a. ..... |  |
| 10.2.1. | Has a security plan been developed and implemented for High Consequence Dangerous Goods (HCDG) in accordance with section 1.10. of ADR? |  | Check the main content of ADR section 1.10. and check if the index page of the security plan contains all the necessary chapters. Consult the INDUSTRY GUIDELINES FOR THE SECURITY OF THE TRANSPORT OF DANGEROUS GOODS BY ROAD: <https://cefic.org/library-item/guidelines-for-the-security-of-the-transport-of-dangerous-goods-by-road> |  |
| 10.2.2. | Does the company have measures to monitor the movement of HCDG whilst in transit? |  | Devices for tracking and tracing HCDG while in transit include GPS monitoring. |  |
| 10.2.3. | Are all fully loaded freight containers, tank containers, truckload and railcars containing HCDGs, sealed and the seal numbers provided separately (electronically or on paper)? |  | Check the practices on sealing through interviewing drivers and verifying the instructions. Look for a written sealing procedure and the unique numbered seals to be recorded on transport documentation. |  |
| 10.2.4. | Are seal discrepancies for HCDG investigated thoroughly, the shipment rejected if necessary, security personnel notified and extreme care taken if there is evidence of seal tampering? |  | A reporting system for seal discrepancies must be in place, including the investigation and follow-up. |  |
| 10.2.5. | Are drivers (own and FIS) required to call-in periodically if there is no localization by Electronic Tracking and Tracing Tools (e.g. GPS) available? |  | Check instructions on call-in in the driver's handbook and check actual practice by interviews with drivers. Check the periodicity in relation to product/kind of transport/country, which should be at least after every long period at a standstill. |  |
| **11.** | **Control of operations** |  | **Control of operations** |  |
| **11.1.** | **Customer Interface** |  | **Customer Interface** |  |
| 11.1.1. | Do you have information from the chemical customer to perform a safe collection/delivery? This should include as a minimum: |  | Information can be given in a general contract, in the individual order, in an information document concerning the (un)loading point, …. Randomly select from an order list, or transport planning list some operations and check. |  |
| 11.1.1.1.a. | the split of responsibilities agreed between driver and operators at (un)loading site (BBS loading/unloading)? |  | BBS loading/unloading guideline has to be explained and considered when answering this question, specifically driver not to be involved in sample taking. |  |
| 11.1.1.1.b. | handing in the ECD document? |  | No guidelines. |  |
| 11.1.1.1.c. | - site access requirements including PPE?  - checking the leak proofness of the closing devices after (un)loading?  - the documents accompanying the (un)loading process (before/during/after)?  - equipment requirements?  - cargo securing? |  | Information shall include:  - opening hours, vehicle restrictions, ...  - detailed information about documents needed at the different stages can be applicable.  - length of hoses, type of hoses, compressors, pumps, ...  - customer instructions on cargo securing for specific cargo. |  |
| 11.1.2. | Is there a written proof of the management commitment to support the driver according to the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles" |  | This can be added in the drivers handbook or as a separate instruction, but this has to backed up by driver interview based on non-conformances on sites. |  |
| **11.2.** | **Planning and Communication** |  | **Planning and Communication** |  |
| **11.2.1.** | **Order Planning and Processing** |  | **Order Planning and Processing** |  |
| 11.2.1.1. | Is there a written procedure for transport order processing , segregation of goods and vehicle scheduling? |  | The assessor should review the documented procedures and give a positive score if he/she judges that the key elements are covered, e.g. truck maintenance schedules are not conflicting with order execution schedules. Check if an instruction or procedure is in place between the maintenance workshop and the planning department. Look for respective written procedures and practices regarding the segregation of different types of cargo, food products, etc. in line with legal requirements. For dangerous goods verify compliance with ADR chapter 7.5. |  |
| 11.2.1.2. | Has the company a documented process to control its services from loading point to delivery at the final consignee ? |  | Verify through a sample of transactions how the company traces and follows current status/location during transport and transit according to customer requirements or risk assessment. In larger companies, effective control of the status of shipments along the supply chain could be based on IT-technologies like barcodes, RFID (Radio Frequency Identification) or SCEM(Supply Chain Event Management) but also through document scanning, mobile communication calling in or other follow-up. Look at whether the process description covers the complete supply chain. |  |
| 11.2.1.3. | Are all customer instructions and requirements followed through the complete supply chain? |  | Evidence has to be checked by looking at the agreements signed by subcontracted companies (non-integrated) and whether customer requirements have been included or added. The assessed company must ensure that their subcontractors comply with his own requirement profile as well as the requirement profiles of the customers (chemical companies). The agreement with the chemical customers could be included in a written contract. Fully integrated subcontractors are seen as own drivers. |  |
| 11.2.1.4. | Does the planning section communicate relevant information and instructions to the driver/subcontractor, including, but not limited to:  - route criteria (including approved parking locations, tunnel codes)?  - additional national transport regulations in other countries (for international transport)?  - consignor/consignee details?  - product compatibility (multi loads)?  - product compatibility (previous loads)?  - customer specific HSE requirements? |  | A mandatory comment is required. |  |
| 12.2.1.5. | Does the company have, for all journey's exceeding 4,5 driving hours, a Journey Risk Assessment system in place that supports the driver to manage his journey, via a documented Journey Plan that contains the authorized route, known route hazards, safe and secure vehicle parking and authorized rest stops? |  | A Journey Risk Assessment (JRA) system will provide the drivers with a Journey Plan (some companies can refer it as a “journey management plan”) including the authorized route and authorized rest stops, known route hazards and safe and secure vehicle parking. The driver shall receive the Journey Plan prior to departure for selected journeys. The selection shall be based on risk assessment but shall include at least all journeys that exceed 4,5 driving hours. Journey Plans are based on a journey risk assessment. For a specific journey, the risk assessment should take into account the safety and security aspects mentioned before and be based on product hazards and product value. (Refer to Cefic "Guidance on Safety Risk assessment for Chemical Transport Operations") The assessor shall check:  - with drivers: if the Journey Plan review is part of the journey preparation routine. (Refer to: CEFIC ECTA "BBS Guidelines for training of drivers and safe driving of road freight vehicles").  - with drivers: if a system is in place for drivers to report any changes to the Journey Plan arising from the journey.  - with planning/dispatch: for evidence that the JRA system is updated with reported changes. |  |
| 11.2.1.6. | Are there written procedures in place to ensure that the maximum allowable weight in the various countries is not exceeded? |  | Check for a written procedure to ensure that the driver is aware of the correct loading pattern to be sure that the maximum weights in various countries are not exceeded. Look for a document with maximum allowable weights in the various countries, taking also exceptions for the intermodal legs into consideration. |  |
| 11.2.1.7. | When drivers are requested by consignors or consignees to draw a sample from the top of the vessel, is there a written procedure to provide feedback to the consignor or consignee, and that this communication is followed up? |  | Taking samples from the top of the vessel is an activity that should be done by operators from the consignee or specialized companies. Refer to the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles". Drivers should report when they are requested to take samples and the organization should communicate this information to the consignor. |  |
| 11.2.1.8. | When drivers are requested by consignors or consignees to work on top of the vessel and no (proper) fall protection is available, is there a written procedure to provide feedback to the consignor or consignee, and that this communication is followed up? |  | Working on top of a vessel is a dangerous activity that should be avoided at all times. If necessary this work has to be done with proper fall protection preferably collective or with an individual fall protection hooked on a certified hooking point with a lanyard. Refer to the "Best practice guidelines for safe working at height in the chemical logistics supply chain". <https://cefic.org/library-item/best-practice-guidelines-for-safe-working-at-height-in-the-logistics-supply-chain> |  |
| 11.2.1.9. | When drivers are requested by consignors or consignees to discharge a bulk truck or container directly into Drums or IBCs, is there a written procedure to provide feedback to the consignor or consignee and that this communication is followed up? |  | To unload into drums or IBCs safely, a fixed drumming or IBC filling installation must be available. ‘Fixed’ means that an installation is equipped with a fixed discharge connection, is sited in an area with the required explosion/safety zoning and is in line with the appropriate technical requirements. |  |
| 11.2.1.10. | Do you receive and forward to all of your supply chain partners all the necessary instructions for multimodal shipments? |  | It has to be guaranteed that all necessary instructions for multimodal shipments are received and evaluated by the company. Also this information has to be forwarded to all supply chain partners. If the company has no direct contact with companies in this supply chain, a control mechanism to guarantee the cascading of the information has to be present. |  |
| **11.2.2.** | **Tank Cleaning** |  | **Tank Cleaning** |  |
| 11.2.2.1. | Have all cleaning stations of tankers/tank containers been assessed against SQAS for Cleaning Stations (or equivalent assessment system)? |  | There must be evidence of a list of approved cleaning stations. This approved list should contain only current, SQAS assessed stations for each location (or equivalent). Evidence must be available that the company has made an evaluation of the SQAS assessment reports and has confirmed that, against their company criteria, the cleaning station has achieved a satisfactory result. If the company operates their own cleaning facilities these must also have a current SQAS assessment (or equivalent). |  |
| 11.2.2.2. | Has the company analysed the assessment reports of the cleaning stations used and agreed an improvement action plan, with defined responsibilities? |  | Where there are deficiencies against the company criteria, there should be a written agreed improvement plan. There must be evidence that the company is following up on these action plans. |  |
| 11.2.2.3. | Is it ensured that all the cleaning stations used have permits for the products cleaned? |  | Evidence must be available that, where legally required, the cleaning stations have the necessary permits for the groups/types of products handled. |  |
| 11.2.2.4. | Is there evidence that relevant information about the previous load is provided to the cleaning station as a formal order? |  | This can be:  a) a process description in the driver manual that the driver has to show the CMR to the cleaning station.  b) an e-Mail, fax or EDI with corresponding information which has been sent from the office of the LSP to the TCL station.  Ref SQAS Tank Cleaning Questionnaire, section 9.2.3. |  |
| **11.3.** | **Operations** |  | **Operations** |  |
| **11.3.1.** | **Driver instructions (Driver Manual)** |  | **Driver instructions (Driver Manual)** |  |
| 11.3.1.1. | Is there a drivers manual that is distributed to all drivers (own and FIS) in a language they can understand? |  | Check if a drivers manual (hard copy or electronic version) is available and is shared to all drivers (and fully integrated subcontractors) in a language they can understand. Make a random check by asking a number of drivers (including FIS) if the manual is available in the drivers’ cabin. Examine selected instructions to check that the details are up-to-date. The score is “No” if significant details are out of date. |  |
| 11.3.1.2. | Have drivers (own and FIS) been trained in the content of the drivers manual? |  | Check training records and interview drivers. This can be done on an individual or group training. |  |
| 11.3.1.3. | Is the drivers manual updated regularly? |  | Check that the drivers manual is up-to-date by checking references to updates in ADR and/or other applicable legislation and developments. This requires a minimum of an update every two years. |  |
| 11.3.1.4. | Are there detailed instructions in the available driver manual regarding the following topics:  - BBS principles  - incident and near miss reporting  - use of seat belt  - use of company or private mobile phone  - use of drugs and alcohol  - actions to be taken in an emergency  - security  - inspection prior to loading  - loading procedures  - prescribed documentation, including instructions in writing, is on board  - safety equipment required by legislation  - after loading, verification that the vehicle and load have no obvious defects, leakages, cracks, missing equipment  - after loading, verification that the vehicle is not overloaded  - after loading, verification that danger labels and markings (orange plates) prescribed for the vehicles, have been affixed (ADR and IMDG goods)  - operating/driving restrictions during bad weather conditions  - actions to be taken if, during the journey, an infringement which could jeopardize the safety of the transport, is observed (ADR goods)  - unloading procedures |  | The assessor will check the items indicated in the question and score the question "No" if any of the items are missing. Mandatory comment(s) are required. | X |
|  | - observation of instructions/practices at loading and unloading sites and reporting of unsafe conditions  - use of wheel chocks (to avoid uncontrolled vehicle movement)  - defect reporting and rectification system  - pre-start checklist  - use of standard PPE  - fall arrest harness  - PPE for special products  - entry into confined space  - if the container is used for bulk solids, is it tipped in stages, e.g., one ram at the time, to prevent product surge? |  |  |  |
| 11.3.1.5. | Does the drivers manual contain, in addition, specific detailed instructions for BULK GOODS, regarding:  - visual inspection of tanks, valves and hoses for cleanliness?  - correct hose connection and valve operation? - correct operation of any transfer equipment? - equipotential electrostatic bonding/earthing? - the use of correct equipment to tighten couplings? - a check on gaskets and seals prior to use? |  | Scores a "Yes" for each listed item for which an instruction exists that covers critical SHEQ&Sec aspects.  - External tank cleanliness should be considered and also a visual inspection of the internal tank cleanliness from a safe external position.  - The use of non-sparking equipment is demanded. Extensions on tightening equipment should not be used because this can cause over tightness and damage to the couplings.  - The driver has to verify if all gaskets and seals are still in a (visually) good state.  The assessor will check the items indicated in the question and score the question "No" if any of the items are missing. Mandatory comment(s) are required. |  |
| 11.3.1.6. | Does the drivers manual contain, in addition, specific detailed instructions for PACKAGED GOODS, regarding : - inspection of the cargo compartment for cleanliness and potential risks (e.g. nails) ? - stowage and cargo securing ? - product compatibility and segregation ? |  | Score a "Yes" for each listed item for which an instruction exists that covers critical SHEQ&Sec aspects.  - The instructions must cover the preferred method for securing palleted items, octabins or bags and it must also specify the use of dunnage. See the "Guidelines for Transport Equipment used for chemical packed cargo" and, if applicable, the "IMO/ILO/UNECE Code of Practice for packing of Cargo Transport Units"  - see ADR 7.5  The assessor will check the items indicated in the question and score the question "No" if any of the items are missing. Mandatory comment(s) are required. |  |
| **11.3.2.** | **Pre-Start Checks** |  | **Pre-Start Checks** |  |
| 11.3.2.1. | Is a pre-start list filled in by the driver including the following items: |  | The assessor will verify that there is a procedure (in the driver’s manual, as required by 11.3.1.4., or in other document) to carry out the checks of questions 11.3.2.1.a. – 11.3.2.1.n. The procedure will require, for every item, a daily record frequency, as a minimum. To score positively the questions the assessor will:  1. verify that, at least, one the following records are fulfilled by the driver:  - one or several ticks in a board-computer/TMS (truck management system)  - checklist in hard copy with all items  - a daily work record document with a box making a reference to the procedure.  2. Interview drivers on this routine to confirm that the checks are done thoroughly. The items with the legend “to be verified by the assessor” will be checked by the assessor on the trucks during the interview to the drivers. |  |
| 11.3.2.1.a. | inspection of vehicle for damage? |  | No guidelines. To be verified by the assessor. |  |
| 11.3.2.1.b. | lubricating oil level and pressure check? |  | For modern trucks this is done automatically before ignition. |  |
| 11.3.2.1.c. | brake operation? |  | No guidelines |  |
| 11.3.2.1.d. | condition of tyres? |  | No guidelines. To be verified by the assessor. |  |
| 11.3.2.1.e. | lights? |  | No guidelines. To be verified by the assessor. |  |
| 11.3.2.1.f. | inspection of vehicle for leakage? |  | Check for water, oil, diesel, product leaks. |  |
| 11.3.2.1.g. | tightness of wheel nuts? |  | This should only be checked after tyre replacement. The driver will look for rust around the wheel nuts; this would signify slackness and movement of the nuts. Wheel nut indicators can be also accepted as a way to check tightness |  |
| 11.3.2.1.h. | fire extinguishers? |  | In accordance with legal requirements and instructions in writing. To be verified by the assessor. |  |
| 11.3.2.1.i. | every PPE required? |  | In accordance with legal requirements and instructions in writing. To be verified by the assessor. The assessor shall look for evidence of orders (carried out or planned) and compare the completeness of the PPE check against the hazard requirements for the carried products. Mandatory comment required. |  |
| 11.3.2.1.j. | wheel chocks ? |  | No guidelines. To be verified by the assessor. |  |
| 11.3.2.1.k. | eye wash bottles? |  | Regarding ADR 8.1.5.2.To be verified by the assessor. |  |
| 11.3.2.1.l. | drain seal and absorption material? |  | For drain seal refer ADR 8.1.5.3.To be verified by the assessor. |  |
| 11.3.2.1.m. | emergency remote controls on bottom valve? |  | The bottom valve of a tank can be shut down with a remote control system. This system has to be checked on its operability: verify that the cable is connected to the valve. The emergency shutdown operating system must be affixed and operable. |  |
| 11.3.2.1.n. | no cracks in the front wind screen |  | Refer to Dir 2014/45/EU and local legislation. The assessor will check that the inspection is done but it is not expected him(her) to verify if the acceptance criteria used by the assessed company is correct. |  |
| **11.4.** | **Administration** |  | **Administration** |  |
| **11.4.1.** | **Controls of drivers** |  | **Controls of drivers** |  |
| 11.4.1.1. | Is the driver (own and FIS) required to keep and to sign a daily worksheet that includes that the vehicle is fit for purpose? |  | Check the files for a few drivers (own and FIS) and transport orders. |  |
| 11.4.1.2. | Is there a system that checks on the maximum number of driving hours and minimum rests of driver by day/week/fortnight ? |  | There should be a system in place, which checks that the regulations regarding maximum allowable driving hours/driver/week have been followed. The system should be capable of identifying and recording any non-conformances and reporting these to senior management for attention and corrective action as necessary. Check for the existence of such a system for own drivers and FIS. Reg (EU) 561/2006/EU |  |
| 11.4.1.3. | Does the company have a system to restrict the driver's use of communication devices during moving (including message sending, mobile phone, GPS)? |  | The system has to include the control on private and company provided mobiles. Where it is legal to do so, the company should have a documented system of comparing mobile phone records with tachographs to assess whether the phones are being used while the truck is in motion. |  |
| **11.5.** | **Temporary storage and internal transfer of packaged goods** |  | **Temporary storage and internal transfer of packaged goods** |  |
|  |  |  | A company involved in the transport of packaged goods may transfer goods from one trailer to another trailer at its site, which may also include temporary storage. As such, this activity poses an additional risk which should be assessed. This is even more evident if dangerous goods are involved. |  |
| 11.5.1. | Does the company have a specific written procedure for the transfer and temporary storage of goods? |  | Check if a written procedure is available for the transfer and temporary storage of goods. |  |
| 11.5.2. | Are all goods on site stored and segregated as per legal requirements and are the correct product details available during internal transfer and temporary storage? |  | Compare stock list and actual storage with the operating permit.  The assessor should look for normal shipment details, e.g. CMR or shipment notes. In cases when hazardous goods are involved the correct instructions in writing must be available and if storage is involved, the Safety Data Sheet (SDS) must be at hand. |  |
| 11.5.3. | Have the employees involved in the transfers of goods received appropriate training and have adequate personal protection? |  | As a minimum there should be training in the use of handling equipment (e.g. forklift trucks). If hazardous goods are involved they should also have received hazardous goods training as required by ADR. The assessor should verify participation lists, training contents and in the case of dangerous goods also training certificates. For standard handling operations, safety shoes and working gloves are adequate. If hazardous goods are involved the Personal Protective Equipment should be in accordance with the requirements of the instruction in writing or safety data sheet. |  |
| 11.5.4. | Is the transfer and temporary storage of liquid materials carried out in an area with an impervious surface? |  | The question is only applicable if packed liquids (hazardous or non-hazardous) are handled. |  |
| 11.5.5. | Is there a written procedure for cargo securing according to the guidelines? |  | See Cefic/ECTA guidelines - European Standard EN 12195-1. |  |
| **11.6.** | **Transport of dry products including plastics and polymers** |  | **Transport of dry products including plastics and polymers** |  |
| 11.6.1. | Is there a written procedure in place which requires the driver to verify if, during and after loading and unloading, lost pellets are properly removed from the outside of the transport equipment before leaving the loading/unloading site? |  | The procedure could be part of the driver's manual. The loading/unloading operator can use dust suction systems or blowers (open or closed) to remove lost pellets. This also applies to sweeping out trailers of packed cargo after unloading (pellets after damages or released through filling openings of the packaging). Refer to the Cefic/ECTA Guidelines "Safety and Quality Best Practice Guidelines for Unloading of Polymers in Bulk", section 5. <https://cefic.org/library-item/best-practice-guidelines-safety-quality-guidelines-for-unloading-polymers-in-bulk> | M |
| 11.6.2. | Is equipment to contain and clean up pellets available on the truck? |  |  | M |
| 11.6.3. | Does the driver have instructions that require pellets to be put in closed containers or bags for proper disposal? |  | The question is only applicable while in transit (not at loading/unloading sites, not at cleaning station). | M |
| 11.6.4. | In case of transportation of pellets in bulk tanks, does the driver have instructions that the bottom manhole/cone of the silo tank should not be opened before entering the cleaning bay? |  |  | M |
| 11.6.5. | Does the driver have instructions which prohibits the replacement of the container liner in any public area? |  | A container liner (bag-in-box) is a plastic bag used to contain pellets.  A container liner could have rest of pellets, so, there is a risk of environmental impact.  This instruction could be included in the driver’s manual mentioned in 11.3.1. | M |
| 11.6.6. | Are there written instructions and precautions that the driver must take into account when unloading polymers in bulk? |  | Refer to the Cefic/ECTA/Plastics Europe Guidelines "Safety and Quality Best Practice Guidelines for Unloading of Polymers in Bulk", section 3. |  |
| 11.6.7. | Are there written instructions and precautions that the driver must take into account when unloading bulk chemicals by tipping of Silo trucks/ Trailers, Silo Containers and bag-in-box containers? |  | Refer to the Cefic/ECTA "Best Practice Guidelines for Safe tipping of Silo trucks/ Trailers Silo Containers and bag-in-box containers", Section 10. <https://cefic.org/library-item/best-practice-guidelines-safe-tipping-silo-truck-strailers-silo-containers-bag-in-box-containers> |  |
| 11.6.8. | If rotary valve is used for discharge: is it fitted with an interlocked safety guard to prevent access when the blades are in motion? |  | The assessor will look for a reference in the driver's manual. |  |
| 11.6.9. | Are all twist locks checked before loading/discharge? |  | The assessor will look for a reference in the driver's manual. |  |
| 11.6.10. | Is the electrical resistance to earth of the earthing wire less than 10 ohms? |  | The assessor will ask for records of annual test of the electrical resistance. |  |
| **12.** | **Specific types of Transport Services and their activities** |  | **Specific types of Transport Services and their activities** |  |
| **12.1.** | **Transfer Terminal for Container/Vehicle operations** |  | **Transfer Terminal for Container/Vehicle operations** |  |
|  |  |  | This section is only applicable when the SQAS assessment takes place at a Transfer Terminal. It is applicable to sites that transfer containers/vehicles between all modes of transport, i.e. road, rail, inland waterways, deep and short sea, and air. A sea terminal, covered by the CDI system, does not need to be covered here. The assessor shall refer to the Cefic/ECTA guidelines "Safe storage and handling of containers carrying dangerous goods and hazardous substances". See <https://cefic.org/library-item/safe-storage-handling-containers-carrying-dangerous-goods-hazardous-substance> |  |
| 12.1.1. | Does the assessed company have the correct licenses to store and handle any hazardous contents of the transport units intended to be sent there? |  | Check that there is a system in place to verify that the hazardous products to be received are allowed by the site licenses. |  |
| 12.1.2. | Does the terminal meet the customer's and/or the industry specific security requirements? |  | Site access control should include as a minimum the physical check of the delivery documents against the order. The site entrance(s) should preferably be fitted with a gate normally kept in the closed position. |  |
| 12.1.3. | Does the terminal's rolling and lifting equipment meet the national legal requirements? |  | Check that the equipment is protected against malfunction and lifting excessive weights, and is fitted with warning lights/acoustic alarms during movement. Check that alarm signals are also used to warn for movement of trains. Machinery Directive 2006/42/EC.  To identify the equipment covered by this question refer to the Cefic/ECTA guidelines "Safe storage and handling of containers carrying dangerous goods and hazardous substances", section 4. |  |
| 12.1.4. | Is there a documented programme for preventive inspection and maintenance for cranes, rolling and lifting equipment? |  | Look for an inspection and maintenance programme requiring that equipment (owned or leased) is adequately serviced, adjusted and otherwise maintained to prevent abnormal wear and tear, and to detect defects before they cause accidents or breakdowns. Also check in practice. |  |
| 12.1.5. | Is there a documented programme for the training of drivers/operators of cranes, rolling and lifting equipment? |  | Check the training records of selected drivers/operators. Check against the record of incidents where the root cause was identified as drivers' behaviour and there was a consequential action to reinforce the training programme. |  |
| 12.1.6. | Is there a segregation plan applied when storing shipping containers? This must include loaded containers, empty uncleaned containers and empty clean containers. |  | Refer to section 3.1. of the guidelines "Safe Storage and handling of containers carrying dangerous goods and hazardous substances". Check for a written plan and verify at site. |  |
| 12.1.7. | Is traffic adequately managed (signs, road marks, flow directions, speed limits) and enforced? |  | Look for indications, signs, instructions to drivers and also observe the practical implementation of this. |  |
| 12.1.8. | Are effective systems in place to ensure that no unauthorized persons are present in container handling areas? |  | Look for effective systems, e.g. can the crane driver oversee everything (e.g. if his cabin is above the crane), are drivers asked to wait in a special waiting area/room? |  |
| 12.1.9. | Is a maximum stack height of tank containers/ containers defined in a written procedure and enforced? |  | The assessor should seek the company written procedure which describes the process to be followed regarding Container Storage/Stacking and check that the procedure is followed. It should be noted that stacking heights (maximum allowable stacking weight/height) for containers/tank containers vary due to the equipment build configuration. A further point is that the stacking of both loaded and empty equipment creates different dynamics when confronted with weather changes, e.g. wind. The information included in the CSC safety approval of the containers should be taken into account. There is a practice in most terminals of "block" stacking which allows a greater stack height. All of the above points are relevant for stacking various pieces of equipment and should be detailed in a procedure.  Refer to section 3.2. of the Cefic/ECTA guidelines "Safe storage and handling of containers carrying dangerous goods and hazardous substances". |  |
| 12.1.10. | Are unaccompanied transferred units visually inspected for leaks and damage, both on arrival/departure through the EIR (Equipment interchange Receipt) and at regular intervals when temporarily stored? |  | Look for evidence in the form of written procedures, checklists, EIR. |  |
| 12.1.11. | Is there a containment system for leaks and spillages, which also allows for isolation from site drainage? |  | The loading/unloading area should ideally be graded to slope away, but spilled product should not be allowed to run to other parts of the premises (where ignition sources may be present). Check for uncontrolled drains. |  |
| 12.1.12. | Is a system in place to follow-up the periodical test dates of tanks approved for the transport of dangerous goods? |  | This is the responsibility of the tank container operator. |  |
| 12.1.13. | Is there a system to monitor the entry and movement of vehicles on the terminal? |  | Check the internal system that controls vehicle movements within the terminal. Double check the movement of people on the terminal as asked by core question 2.4.1. |  |
| 12.1.14. | Is there proper fall protection available to work safely on top of tank containers to install portable handrails? |  | A handrail is important as a balancing aid. |  |
| 12.1.15. | Is the floor where the containers are stored impervious to prevent the possible spills draining through the ground/groundwater? |  | The assessor will check the permit to see if specific requirements for the pavement are included. As containers are usually stored on the ground it is important, that there is adequate flooring.  Where a product spill takes place, the ground water could be contaminated with negative effects for the environment and people. |  |
| 12.1.16. | Is there a procedure requiring regular documented inspection rounds in order to detect deficient flooring? |  | The inspection frequency shall be three months as a minimum.  - Potholes or uneven flooring can lead to accidents caused by lifting and driving equipment, e.g. reach stackers or trucks colliding with stored containers, or if individuals slip or trip.  - Stacking containers on uneven ground may cause the containers to topple and fall from height. |  |
| 12.1.17. | Does the site have a skid, mobile unit or bunded segregated area to manage the small spillages which cannot be stopped or contained by absorbent materials, etc.? |  | Examples of containment facilities could be a container drip tray, or kerbed/bunded impervious floored area. Refer to section 6.1.1. of the guideline "Safe Storage and handling of containers carrying dangerous goods and hazardous substances" and to SQAS Core, section 4 "On/Off Site Emergency Preparedness and Response". |  |
| 12.1.18. | For large spillages and significant loss, does the site have a location or equipment that could hold the "total lost" volume of a container? |  | Refer to section 6.1.2. of the guidelines "Safe Storage and handling of containers carrying dangerous goods and hazardous substances". This must be an equipment or location such as a large bund, large volume basin, skid unit or a location that contains the total volume. The reception site must have a liquid tight floor, low surface area and a controlled drainage mechanism. Refer to SQAS Core, Section 4, Emergency Response. |  |
| 12.1.19. | Is a written procedure present to evaluate all specific customers' requirements regarding the transfer and temporary storage of goods? |  | Elements could be: temperature control of cargo (also dangerous goods), de-icing, ... |  |
| **12.2.** | **Container depot** |  | **Container depot:**  This section is applicable when the SQAS assessment takes place at a container depot or a container depot is part of a transport site. The containers may be awaiting purchase, onward delivery or drawing off as dictated by business need. The site does not unpack/repack. The assessor shall refer to the Cefic/ECTA guidelines "Safe storage and handling of containers carrying dangerous goods and hazardous substances". See <https://cefic.org/library-item/safe-storage-handling-containers-carrying-dangerous-goods-hazardous-substance>.  In case that it is a SEVESO site additional requirements could be applicable. |  |
| **12.2.1.** | **General Site Operations** |  | **General Site Operations** |  |
| 12.2.1.1. | Licenses and storage capacity |  |  |  |
| 12.2.1.1.1. | Does the assessed company have the correct licenses to store transport units containing any (hazardous) cargo? |  | All other licenses requirements should be checked as well, e.g. allowed hazardous cargo classes. |  |
| 12.2.1.1.2. | Does the assessed company have a procedure to check that the storage capacity is in line with the license? |  |  |  |
| 12.2.1.2. | Registration of a Product on Site and Entrance Check |  | Registration of a Product on Site and Entrance Check. |  |
| 12.2.1.2.1. | Is there a procedure for assessing a product not previously stored on site upon arrival that evaluates the safe handling of the unit, including the correct licenses to store and handle it? |  | The site should have a structured process in place to handle this assessment and predefined roles of whom are authorized to approve such storage and handling requests (e.g., Director, Site Manager) and who should be consulted in the process (e.g., HSE Manager, Dangerous Goods Safety Advisor DGSA).  The assessor should check if there is a valid permission for storing a product not previously stored. |  |
| 12.2.1.2.2. | For storage of containers carrying products not registered before, does the company know the following information?  - SDS (preferably local language(s) of storage(s) and/or English)  - Gross Weight  - Type of shipping unit |  | The assessor will sample the last records of containers received carrying new products and will check the information requested. |  |
| 12.2.1.2.3. | When any container arrives to the terminal, is there a system to check and register: |  |  |  |
| 12.2.1.2.3.a. | Visual technical check of the ITU (Intermodal Transport Unit) conditions on/of:  - leakage (leaking unit)  - visual deformations of the transport unit  - container type |  |  |  |
| 12.2.1.2.3.b. | Visual formal check of the container conditions on/of:  - container state (loaded/ unloaded/ cleaned)  - properly labelled and marked according to legislation/ regulations (ADR/IMDG) (see guideline of this question)  - seals and seal numbers  - container number  - data plate |  | Special attention should be paid to Marking and Labelling during the entrance check, in order to prevent typical errors, which are placards, marks or labels that are:  - not visible  - wrongly placed  - damaged  - missing  - incomplete  - incorrect  The validity of the equipment tests is recorded on the data plate. The stamps from the inspection bodies should be visible.  The data plate includes information about CSC (Container Safety Convention). This is covering mainly the condition of the frame. The testing data of the tank is also included in case of transportation of dangerous goods.  Containers are usually built on the request of the container owners by the manufacturer. All containers need to be built based on the ISO and CSC standards at their base level to be eligible for international transport. Any customization on the container is built over these basic standards. Once the container is in its final form, it is classified according to the ISO and given a container ID number. This number needs to be displayed on the CSC plate of the container. |  |
| 12.2.1.2.3.c. | Special storage conditions from customers? |  | Pressure and temperature checks can be required by specific customers, e.g., when transporting gases. |  |
| 12.2.1.3. | Security |  |  |  |
| 12.2.1.3.1. | Does the terminal meet the customer's and/or the industry specific security requirements? |  | The access control should include as a minimum the physical check of the delivery documents against the order.  The site entrance(s) should preferably be fitted with a gate normally kept in the closed position.  Other security requirements are in section 13. Site Inspection and Site operations. |  |
| 12.2.1.4. | Housekeeping |  |  |  |
| 12.2.1.4.1. | Is the housekeeping acceptable? |  | Good housekeeping practices are an important part of general operations because they can reduce workplace hazards resulting in a safer and better job. Poor housekeeping practices on the other hand, can have severe consequences resulting in accidents, equipment damage and contamination.  The assessor will carry out the following checks to score this question positively:  - there is an unobstructed view on safety equipment and signs  - damaged equipment is not present  - broken pallets are to be properly disposed  - pallets (if present) should be present in designated locations away from ignition sources. Additionally, it has to be regarded that the storage of pallets does not increase the fire load of buildings, e.g. by stacking them up against walls  - vegetation (grass, bushes etc.) is under control and regularly trimmed  - road/terminal surface in general (potholes, obstacles, cracks etc.). |  |
| 12.2.1.5. | Competencies and Training |  |  |  |
| 12.2.1.5.1. | Is there a documented programme for the training of drivers/operators of cranes, rolling and lifting equipment? |  | Check that the drivers of cranes, forklifting and other rolling equipment have a specific certificate. This could be a legal requirement.  Check the training records of selected drivers/operators. Check against the record of incidents where the root cause was identified as drivers' behaviour and there was a consequential action to reinforce the training programme. |  |
| 12.2.1.6. | Human Behaviour and Behavioural Based Safety (BBS) |  |  |  |
| 12.2.1.6.1. | Are drivers/operators of cranes, rolling and lifting equipment included in the BBS programme required by section 8. of this questionnaire? |  |  |  |
| **12.2.2.** | **Storing of Containers** |  | **Storing of Containers** |  |
| 12.2.2.1. | Segregation |  |  |  |
| 12.2.2.1.1. | Is there a segregation plan applied when storing shipping containers? This must include loaded containers, empty uncleaned containers and empty clean containers |  | Product segregation is indispensable to reduce the risk of hazardous interaction between different products in the case of a spill (e.g. due to a leak or a fire). But in the case of tank container or box container depots there is a reduced risk of interaction between the goods in comparison to packaged good in warehouses. Consequently, the requirements for segregation in container storage are less severe than for warehouses.  Nevertheless, interaction between the stored goods, creating a hazardous situation, should be taken into account.  The final segregation plan should always meet at least the (local) regulations and requirements put down in the permit.  For the recommended measures refer to section 3.1 of the guidelines "Safe Storage and handling of containers carrying dangerous goods and hazardous substances". Check for a written plan and verify at site. |  |
| 12.2.2.1.2. | Are the segregation rules included in the training programme? |  |  |  |
| 12.2.2.1.3. | Are the segregation rules visible for external viewers? |  |  |  |
| 12.2.2.2. | Container Stacking |  |  |  |
| 12.2.2.2.1. | Is a maximum stack height of tank containers/ containers defined in a written procedure and enforced? |  | Usually, the stacking height of containers is regulated by the operating permit.  Assessor should check how this information is shared with involved staff and if there are records kept.  The assessor should also seek the company written procedure which describes the process to be followed regarding Container Storage/Stacking and check that the procedure is followed. It should be noted that stacking heights (maximum allowable stacking weight/height) for containers/tank containers vary due to the equipment build configuration. The information included in the CSC safety approval of the containers should be taken into account. There is a practice in most terminals of "block" stacking which allows a greater stack height. All of the above points are relevant for stacking various pieces of equipment and should be detailed in a procedure.  Refer to section 3.2. of the Cefic/ECTA guidelines "Safe storage and handling of containers carrying dangerous goods and hazardous substances" |  |
| 12.2.2.2.2. | Is there a procedure defining the stacking taking into account the weather conditions and the fact that the containers are loaded/unloaded? |  | Stacking of both loaded and empty equipment creates different dynamics when confronted with weather changes e.g. wind. |  |
| 12.2.2.3. | Flooring |  |  |  |
| 12.2.2.3.1. | Does the floor where the containers are stored include at least one impervious layer to prevent the possible spills draining through the ground/groundwater? |  | The assessor will check the permit to see if specific requirements for the pavement are included. As containers are usually stored on the ground it is important, that there is adequate flooring.  Where a product spill takes place, the ground water could be contaminated with negative effects for the environment and people.  Most container depot have a surface made of bricks (ca. 12cm), then a layer of grit (10-30cm) and then one or more layers of concrete as base foundation (20-60cm).  At least one of the layers (usually the concrete layer) should be impervious. The assessor will require documentary evidence of this condition. |  |
| 12.2.2.3.2. | Is there a procedure requiring regular documented inspection rounds in order to detect deficient flooring? |  | The inspection frequency shall be three months as a minimum.  - Potholes or uneven flooring can lead to accidents caused by lifting and driving equipment, e.g. reach stackers or trucks colliding with stored containers, or if individuals slip or trip.  - Stacking containers on uneven ground may cause the containers to topple and fall from height. |  |
| **12.2.3.** | **Equipment** |  | **Equipment** |  |
| 12.2.3.1. | Equipment Selection and Specification |  |  |  |
| 12.2.3.1.1. | Does the terminal's rolling and lifting equipment meet the national legal requirements? |  | Typically, terminal trucks, empty handlers, reach stackers and cranes are deployed. Check that the equipment is protected against malfunction and lifting excessive weights, and is fitted with warning lights/acoustic alarms during movement. Machinery Directive 2006/42/EC and amending Directive 2014/33/EU.  To identify the equipment covered by this question refer to the Cefic/ECTA guidelines "Safe storage and handling of containers carrying dangerous goods and hazardous substances", section 4. |  |
| 12.2.3.2. | Inspection and Maintenance of Equipment |  |  |  |
| 12.2.3.2.1. | Is there a statutory inspection programme for the cranes, rolling and lifting equipment? |  | All equipment deployed must undergo a periodic inspection by a certified or competent inspector. If legal requirements or the manufacturer’s specifications do not state otherwise, the recommended test cycle is once per year. Date, name and signature of the inspector as well as the findings of the periodic maintenance are to be documented. |  |
| 12.2.3.2.2. | Is there a documented programme for preventive maintenance for cranes, rolling and lifting equipment? |  | Look for a maintenance programme requiring that equipment (owned or leased) is adequately serviced, adjusted and otherwise maintained to prevent abnormal wear and tear, and to detect defects before they cause accidents or breakdowns. Also check in practice. |  |
| 12.2.3.2.3. | Is there a daily check list filled in covering the status of the equipment? |  | This is usually fulfilled in by the drivers. |  |
| **12.2.4.** | **Container Operations** |  | **Container Operations** |  |
| 12.2.4.1. | Internal transport and On-Site traffic |  |  |  |
| 12.2.4.1.1. | Is traffic adequately managed (signs, road marks, flow directions, speed limits) and enforced? |  | Look for indications, signs, instructions to drivers and also observe the practical implementation of this. |  |
| 12.2.4.1.2. | Is there a system to monitor the entry and movement of vehicles on the terminal? |  | Check the internal system that controls vehicle movements within the terminal. Double check the movement of people on the terminal as asked by core question 2.4.1. |  |
| 12.2.4.1.3. | Are there written instructions for: |  |  |  |
| 12.2.4.1.3.a. | the terminal staff and third-party people defining where third-party people are allowed and where not? |  |  |  |
| 12.2.4.1.3.b. | Zones where PPE must be used |  | These zones must be clearly marked (signs, marking). |  |
| 12.2.4.2. | Safe handling |  |  |  |
| 12.2.4.2.1. | Is there a procedure describing the safe handling practices that must be complied with? |  | The procedure shall cover at least all practices mentioned in the list below. On top of the procedure the assessor will check during the plant visit that the following measures are complied with:   * No person should be allowed to stand or pass under suspended loads. * Operators must immediately stop working and report to supervisors if a major malfunction is found or a warning device is not operational. * Containers should generally be lifted with suitable equipment which applies a vertical force to the four top corner fittings. Though this is dispensable for empty containers, the hoisting of a container at four corners is especially important for handling loaded containers of 20 feet or more. * Under no circumstances should containers be lifted by forks in a way that the tank container shell has to bear the container load. * A container should be lifted off the chassis only when it is ensured that the twist locks are disengaged. * In case the operator does not have a clear and unrestricted view, operation is to be stopped and only summoned with a suitable signaler. * When operating a gantry crane, the container should be raised to a height were collision with already stored containers is prevented before starting to travel. |  |
| 12.2.4.2.2. | Is a written procedure present to evaluate all specific customers' requirements regarding the transfer and temporary storage of goods? |  | Elements could be: temperature control of cargo (also dangerous goods), de-icing, ... |  |
| 12.2.4.3. | Inspection and Maintenance of Containers |  |  |  |
| 12.2.4.3.1. | Is a system in place to follow-up the periodical test dates of tanks approved for the transport of dangerous goods? |  | This is the responsibility of the tank container operator. |  |
| 12.2.4.3.2. | Is there proper fall protection available to work safely on top of tank containers? |  | Refer to the “Cefic/ECTA Best Practice Guidelines for the Safe Working at Height in the Chemical Logistics Supply Chain”. |  |
| 12.2.4.4. | Service of heating and/or cooling of containers load |  |  |  |
| 12.2.4.4.1. | Are there written procedures/instructions for heating or cooling of tanks, including: |  | A tank heating or cooling procedure with instructions should be written in detail and describe who has responsibilities, and the standard of performance expected. During the site inspection it should be checked if the responsible personnel received the instructions, understand all the requirements of the procedure and if they are fully implemented. A positive score should only be given on each of the elements if the procedure is in place, understood and fully implemented. |  |
| 12.2.4.4.1.a. | initial product inquiry? |  | Included assessment of potential hazards. |  |
| 12.2.4.4.1.b. | product acceptance? |  |  |  |
| 12.2.4.4.1.c. | required competence to establish a new heating or cooling instruction? |  |  |  |
| 12.2.4.4.1.d. | controls on temperature devices? |  | Check if these temperature devices are included in a calibration programme as defined in 7.2.2. |  |
| 12.2.4.4.1.e. | a check list used to assure that the procedure is followed? |  | This could be on paper or electronic system. |  |
| 12.2.4.4.2. | Does the operator receive the required instructions before connecting the tank to the heating or cooling system, including: |  | Check a sample of documents on tank-heating or cooling operations. |  |
| 12.2.4.4.2.a. | mode of heating? |  | The coil can be heated by direct steam or hot water. Electricity can also be used. The heating mode is defined by the risk assessment: some products can start to react or polymerize when are in contact with high temperatures. A monomer like acrylic acid is a known example where incorrect heating led to explosions in the past. With acrylic acid, only warm water may be used. Steam heating is strictly forbidden. Other products can be *“burned”* or their quality can be damaged when they come in contact with too high temperature. A procedure must be in place where a competent person decides for each product to be heated which mode of heating can be used and which maximum medium temperature is allowed (for acrylic acid not more than 35 degrees of warm water). This information should always be available before a tank is connected to the heating system and clearly printed on the heating instruction. |  |
| 12.2.4.4.2.b. | maximum contact temperature? |  | The maximum contact temperature should be defined for safety and/or quality reasons. This is the temperature that the coils can reach and is defined by the medium used for heating. The **acrylic acid**, mentioned as example in 12.2.4.4.2.a., has to be heated at a maximum temperature of 35 degrees. |  |
| 12.2.4.4.2.c. | maximum working pressure of steam coils? |  | It has to be checked that the pressure capacity of the steam coils of the tank container is not less than the steam pressure of the fixed installation. |  |
| 12.2.4.4.2.d. | regular checking of product temperatures? |  |  |  |
| 12.2.4.4.2.e. | personal protective equipment? |  |  |  |
| 12.2.4.4.2.f. | the use of the dip thermometer for checking the product temperature , if allowed by the product properties and the shipper? |  | A cleaning procedure must be in place for dip stick temperature meters after use. In case food dip thermometers are applied, these should be marked, kept segregated and cleaned. |  |
| 12.2.4.4.3. | A proper provision in place to work at height at the facility in case of the use of dip stick thermometers? |  | If working at height is required, proper fall restraint systems must be in place (safety cages etc.). |  |
| 12.2.4.4.4. | Is the temperature monitoring device interlock with the heating source? |  | This device and the interlocking must be tested by the assessed company. |  |
| 12.2.4.4.5. | If containers are cooled or heated, is an emergency procedure triggered in case of malfunction of the cooling/heating system? |  | Warming up can cause runaway reactions in case of products with low SAPT (Self Acceleration Polymerization temperature) and/or could negatively affect product quality.  Automatic control systems are preferred, but manual surveillance systems are accepted. |  |
| 12.2.4.4.6. | Is supervision assured when heating/cooling overnight or during weekends? |  | Regular checks should be done and documented. Mobile system alarms, if allowed by local regulations, are acceptable. |  |
| 12.2.4.4.7. | Are records kept on each operation, including the temperature progress? |  | Check a sample of documents on tank-heating/cooling operations. |  |
| 12.2.4.4.8. | Is there a system to prevent the mixture of heating commodities? |  | This requirement is addressing the risk of incorrect heating mentioned in 12.2.4.4.2.a.  An example of a system is to have designated areas for heating containers with water/glycol mixture separated from the area supplying steam heating. |  |
| 12.2.4.4.9. | Is the operation done according to the requirements of question 12.2.2.3.1.? |  | The assessor will check the permit to see if specific requirements for the pavement are included. As containers are usually stored on the ground it is important, that there is adequate flooring.  Where a product spill takes place, the ground water could be contaminated with negative effects for the environment and people.  Most container depot have a surface made out of bricks (ca. 12cm), then a layer of grit (10-30cm) and then one or more layers of concrete as base foundation (20-60cm).  At least one of the layers (usually the concrete layer) should be impervious. The assessor will require documentary evidence of this condition |  |
| 12.2.4.4.10. | Is there a procedure to inspect the tank after heating/cooling and before departure? |  | The company will check the temperature, tightness, removal of equipment to measure temperature, disconnection of hoses/electrical cables, etc. These checks have to be recorded (could be part of the check list of question 12.2.4.4.1.e) |  |
| 12.2.4.4.11. | In case of change in the equipment of the heating/cooling unit, has a management of change risk assessment (MOC) being carried out? |  | From conversation with auditees identify any work practice changes. Refer to the guidelines about management of change (MOC): "Managing Change in a Chemicals Supply Chain": <https://cefic.org/library-item/guidelines-for-managing-change-in-a-chemicals-supply-chain/> or equivalent . Look for records of the risk assessment as indicated in section 5. of the guideline or equivalent. |  |
| 12.2.4.4.12. | Has the company communicated the outcome of the MOC risk assessment to people involved in the operation, in case that the risk is changing? |  |  |  |
| 12.2.4.5. | Sample taking |  |  |  |
| 12.2.4.5.1. | If sampling is performed, is there a procedure to carry out the operation? |  | First, the site should have the policy that sampling of containers should be prevented. However, when there is still a strong need for sampling, the site should have a procedure in place.  Hazards that can occur are:   * contamination of staff or third parties * environmental pollution (air, water, soil) * safety and/or quality issues of the product (impurities, reaction with moisture/ atmospheric oxygen) * working on heights (transport of sampling equipment and risk of falling).   If the permit allows, the sampling should be performed by authorized experts, using proper equipment, for taking and transporting samples. For choosing the correct personal protective equipment, the latest version of the SDS should be available.  If sampling does not happen, the question is not applicable. |  |
| **12.2.5.** | **Emergency response & Spill Preparedness** |  | **Emergency response & Spill Preparedness** |  |
| 12.2.5.1. | Containment of spills |  |  |  |
| 12.2.5.1.1. | Is there a containment system for leaks and spillages, which also allows for isolation from site drainage? |  | The loading/unloading area should ideally be graded to slope away, but spilled product should not be allowed to run to other parts of the premises (where ignition sources may be present). Check for uncontrolled drains. |  |
| 12.2.5.1.2. | Does the site have a skid, mobile unit or bunded segregated area to manage the small spillages which cannot be stopped or contained by absorbent materials etc.? |  | Examples of containment facilities could be a container drip tray, or kerbed/bunded impervious floored area. Refer to section 6.1.1. of the guideline "Safe Storage and handling of containers carrying dangerous goods and hazardous substances" and to SQAS Core, section 4. "On/Off Site Emergency Preparedness and Response". |  |
| 12.2.5.1.3. | For large spillages and significant loss, does the site have a location or equipment that could hold the "total lost" volume of a container? |  | Refer to section 6.1.2. of the guidelines "Safe Storage and handling of containers carrying dangerous goods and hazardous substances". This must be an equipment or location such as a large bund, large volume basin, skid unit or a location that contains the total volume. The reception site must have a liquid tight floor, low surface area and a controlled drainage mechanism. Refer to SQAS Core, Section 4., Emergency Response. |  |
| 12.2.5.2. | Natural Disasters/ Climatological and Geographical Risk |  |  |  |
| 12.2.5.2.1. | Is there a risk assessment covering natural Disasters and or Climatological and Geographical Risks? |  | During heavy rain, the storm drains can become overwhelmed, and the site can be flooded. Especially after a long dry period. Contributing is the reduced absorbing ground at the storage area.  Floods can have a destructive power and have impact on the flooring, infrastructure of the site and leading to floating of containers, loss of containment and contamination of water. For storage of box containers with water-reactive substances, the contact with water might lead to the emission of flammable gases. This can subsequently lead to explosive mixtures with air, with all its consequences, and may endanger the human health and the environment.  High speed winds could a serious risk. Refer to question 12.2.2.2. about stacking.  The assessed company must have a procedure how to receive warnings prior to expected high risk weather conditions (e.g. gale force winds, extreme rainfall, risk of flooding, etc., and the company must have defined – as part of its emergency response plan – detailed steps to mitigate the risks and limit consequences. |  |
| **12.2.6.** | **Equipment release Controls** |  |  |  |
| 12.2.6.1. | Is there a process to validate the condition of equipment as released by the facility, to be taken by the collecting party? |  | There should be a formal process to check the condition of the equipment on the release from the facility. This is called an "Equipment Interchange Receipt". This must be completed when there are damages to report and record. These would be found during the transfer of equipment control between the facility and the collecting party.  Equipment that is not fit for transport should not be released.  This may be *not applicable* where the facility and the collecting party are of the same organisation/company. |  |
| 12.2.6.2. | As part of 12.2.6.1., does the facility take pictures of the container in the release process? |  | Whilst the release process physically may be between driver and operator; photographic evidence provides a visual record of this activity, should issues arise afterwards. These provide evidence of "good condition" of containers when released by depot. |  |
| 12.2.6.3. | With the "In bound" inspections, 12.2.1.2.3.b. , this included the CSC data plate for validity; Is the CSC date plate checked to ensure 'in date & valid' before release? |  | Container/transport units which have "CSC plate dates" which have expired at the point of collection; should not be allowed to be released from the facility. The facility should notify the contracted party of expired CSC on the container. |  |
| 12.2.6.4. | Does the facility have a process to manage e.g., special exit inspections, temperature checks, pressure checks or such like in the release of the container? |  | There can be the requirement to confirm e.g., temperature or pressure of container at exit of the facility. Or there could be a requirement from customers or from veterinary or customs authorities. The facility should record the evidence. |  |
| 12.2.6.5. | Regulatory Compliance. |  | When handling or storing ADR Listed products/dangerous goods, the facility has a defined role within ADR in the release of the transport container to any collecting party. The facility should have a process or procedure to manage the following aspects of ADR. |  |
| 12.2.6.5.1. | Does the facility have a process to check the statutory test date of the container at the point of release from the facility? |  | Container / transport units which have "test dates" which have expired during storage; should be notified to the collecting party before release of the unit. The ADR regulations allow for movement of containers with expired test dates under specific controls. This is for the transport company / container operator to manage; however, the facility has obligations within ADR related to this requirement. |  |
| 12.2.6.5.2. | Does the facility have a system to check hazardous cargo transport documents, placards and labelling in compliance with regulations? |  | There should be a system to ensure the container / transport unit has the correct placards, labels - including type, number of and condition - and corresponds to the transport documents, when the equipment is released. |  |
| 12.2.6.5.3. | Does the facility have a process to check the driving license of the collecting driver in relation to ADR? |  | See section 12.2.6. for general security checks. The facility must only release a transport unit whereby the driver holds the correct license for ADR class and ADR Type. |  |
| 12.2.6.5.4. | Does the facility have a process to check that the transport equipment is incompliance with ADR? |  |  |  |
| 12.2.6.6. | Release checks and procedures. |  |  |  |
| 12.2.6.6.1. | Does the facility have a process to verify if the collecting party is *authorized* to collect and remove the container from the facility? |  | The collecting party is the company who is going to pick up the container from the depot.  The facility should have a process that requires the notifying party, those contracted with the facility for the holding of the container; to provide a collection reference (booking/release number) or similar. This then must be matched by the collecting driver, who must present it as part of the release process.  Note: Where the collecting transport party notify in advance of the "release number" there must be in place a process to verify that the driver/transport unit collecting the container is authorized to do so. |  |
| 12.2.6.6.2. | Is there a process to check visually or physically that all closures are secure to prevent release of product from the transport unit? Including check that there are no residues of material on the outside of the container. |  | The facility may undertake the physical checks by own employee, engage a 3rd party or to be carried out by the collecting party. A safe means and methods of working must be in place to carry this out.  This is applicable to uncleaned and loaded containers.  Note: Any checks of the unit must take into consideration limitations of customs seals, security seals or other, such as sealing on the container  Use of CCTV or similar is an acceptable method of examination. |  |
| 12.2.6.6.3. | Where there are "seals or security tags" on the container, is there a process to verify that these are documented, intact and match with the original check, or has been agreed by any customer should these have been removed or changed? |  | The facility may undertake the physical checks by own employee, engage a 3rd party or to be carried out by the collecting party. A safe means and methods of working must be in place to carry this out.  Note: Any checks of the container seals must take into consideration limitations of any sealing on the unit.  When the seal(s) was/were changed the new seal number(s) must be documented. |  |
| 12.2.6.6.4 | Does the facility have a system or process to record the release of containers from their facility? |  | The facility should have a system to record the release of the container from their facility; this can include the date, time and to whom the container was released. Note: This could be part of a "stock management system". |  |
| **12.2.6.7.** | Cargo Documentation. |  |  |  |
| 12.2.6.7.1. | Is there a process to ensure any documentation presented with the container on arrival is returned as required or instructed at the moment of collection? |  | For example, this can include certificates of analysis, original weighbridge tickets, heating or cooling records or any other documentation.  The documents could be different from the original documentation. This is called “neutral delivery”, for example, the origin of the container is not disclosed. |  |
| **12.2.7.** | **Measurement and Management of greenhouse gas (GHG) emissions** |  | **Measurement and Management of greenhouse gas (GHG) emissions.**  The **“Guide for Greenhouse Gas Emissions Accounting for Logistic Sites”** issued by the Fraunhofer Institute for Material Flow and Logistics IML (Jan 2019) was used as basis to create this questionnaire  [**http://publica.fraunhofer.de/eprints/urn\_nbn\_de\_0011-n-532019-18.pdf**](http://publica.fraunhofer.de/eprints/urn_nbn_de_0011-n-532019-18.pdf) |  |
| **12.2.7.1.** | Scope 1: Emission measurement of fuel consumed |  | Scope 1 emissions include the direct emissions from assets that are owned or controlled by the assessed company and is paid by the company. This includes the combustion of liquid fuels or gases purchased to produce energy, heat, or steam for use in stationary or mobile equipment (e.g. forklifts, lifting and shunting equipment and heating and cooling equipment) and/or buildings associated. |  |
| 12.2.7.1.1. | Does the company know the fuel consumed on an annual basis? |  | Refer to the guideline mentioned in 12.2.7. |  |
| 12.2.7.1.2. | Did the company calculate the emissions **TTW** from the fuel consumed during the last year using the formula: kg CO2e = Σ (fuel (liters) × TTW fuel emission factor (kg CO2e/ liters fuel))? |  | The company will use fuel emission factors from **GLEC framework guideline: "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting" last version, Module 1**. The document can be downloaded from this link:<https://www.flexmail.eu/f-844a1f54174eb51e>  For every type of fuel three factors can be used: **WTT, TTW and WTW.**  - **WTT (Well-to-Tank):** WTT emissions consist of all processes between the source of the energy (the well) through the energy extraction, processing, storage and delivery phases up until the point of use (the tank)  - **TTW ( Tank-to-Wheel):** These are the emissions from fuels combusted to power activities (the wheel).  - **WTW (Well-to-Wheel):** These are emissions from the full fuel life cycle and should be equivalent to the sum of WTT and TTW emissions.  **For this question TTW should be used.** |  |
| **12.2.7.2.** | Scope 2: Emissions from electricity |  | **Scope 2 emissions** are indirect emissions from the  production and distribution of electricity, heat and  steam purchased by the assessed company for use in  its own logistics sites, electric vehicles or other owned  asset requiring electricity |  |
| 12.2.7.2.1. | Did the company measure the electricity purchased for use in the electric vehicles, or other owned asset requiring electricity? |  | Typically, electricity is used for moving cranes, and lighting. |  |
| 12.2.7.2.2. | Did the company calculate the **emissions from the purchased electricity WTT** required in 12.2.7.2.1. during last year with the formula: kg CO2e = Σ (electricity (kWh)× electricity emission factor (kg CO2e/ kWh electricity)) |  | **TTW** is considered to be zero for electricity, all emissions are in the **WTT** stages at the point of use.  The emission factors to be used depend on the electricity origin. **Companies must gather electricity emission factors for the countries or regions where the logistics sites are located.**  Electricity factors by country can also be obtained from the International Energy Agency (IEA): <https://www.iea.org/data-and-statistics/data-product/emissions-factors-2020#emissions-factors> (fee to be paid)  In absence of other data, an EU average electricity factor of 420 g CO2e/kWh can be assumed (source: GLEC framework guideline). Use of individual country mixes may give significantly different values, especially in countries with a highly decarbonized electricity supply. |  |
| **12.2.7.3.** | Scope 3 |  | **Scope 3 emissions** are indirect emissions from the assessed company’s supply chain.  Scope 3 covers the production and distribution of fuels burned in Scope 1 (WTT), transport emissions embedded within purchased goods and services, product use and end-of-life. Scope 3 also includes, for example, subcontracting of forklifts or reach-stackers to move containers in the depot |  |
| 12.2.7.3.1. | Did the company calculate the absolute emissions WTT from the fuel consumed during the last year using the formula?  kg CO2e = Σ (fuel (liters) × WTT fuel emission factor (kg CO2e/ liters fuel))? |  | The factor should be obtained from the "Global Logistics Emissions Council Framework for Logistics Emissions Accounting and Reporting" version 2.0. Module 1: [*https://www.flexmail.eu/f-844a1f54174eb51e*](https://www.flexmail.eu/f-844a1f54174eb51e) |  |
| **12.2.7.4.** | Calculation of Total emissions (Scope 1, 2 and 3) |  | Measurement of total emissions is necessary because it has direct impact in global warming. |  |
| 12.2.7.4.1. | Did the company calculate the **Total emissions** during last year by adding the emissions from Scope 1, 2 and 3? |  | The following questions should be added: 12.2.7.1.2. + 12.2.7.2.2. + 12.2.7.3.1. |  |
| **12.2.7.5.** | Consolidating and reporting emissions |  |  |  |
|  | Does the company consolidate in a report the total annual emissions in the following form?   * Scope 1 (question 12.2.7.1.2.) * Scope 2 (question 12.2.7.2.2.) * Scope 3 (question 12.2.7.3.1.)   Total emissions (question 12.2.7.4.1.) |  |  |  |
| **12.2.7.6.** | **Reducing emissions** |  | In case that the assessment covers only a depot, this subsection is applicable. But the depot could be part of other facility (e.g., tank cleaning or warehouse).  It is up to the assessed company to decide if this subsection is going to be assessed separately or integrated in the reducing emission sections of other modules. In the second case the assessor will score this section as not applicable and will record a comment clarifying where the section is assessed. |  |
| 12.2.7.6.1. | Defining strategy, objectives and programme  **The first three questions of this section follow a hierarchy: every question has a level of requirement higher than the precedent one** |  |  |  |
| 12.2.7.6.1.1. | Has the company defined a **strategy** to reduce its GHG emissions, based on the measurements made in 12.2.7.4.1. (total emissions)? |  |  |  |
| 12.2.7.6.1.2. | Has the company defined the **objectives** to reduce **total** **emissions**, based on the measurements made in 12.2.7.4.1. in a multiannual programme? |  | The assessor will check if the reduction is in line with the objective defined by the Smart Mobility Strategy: 90% reduction in greenhouse gas emissions **in transport** by 2050, compared to 1990. |  |
| 12.2.7.6.1.3. | Does the assessed company have a multiannual **programme** to reach the objectives mentioned in 12.2.7.6.1.2.? |  | The programme could be in partnership with FIS or with customers.  To score one, the assessor will check that there is a detailed programme with responsible people and due dates. The programme will include intermediate steps and follow-up at least on a yearly basis. |  |
| **13.1.** | **Site inspection** |  | **Site inspection** |  |
| 13.1.1. | Is the site properly secured with fences and gates, well lit and not accessible to the general public ? |  | Check fences, gates and 24h lighting during your site visit. The first personal security impression is on arrival on the first day: are checks made on identification and person(s) being visited? When the assessed site is part of a public harbour, a comment should be provided when this requirement cannot be met. In this case, it is expected that the site will have a security plan according to the IMO's ISPS Code. |  |
| 13.1.2. | Is there a system to monitor the entry and movement of vehicles on site? |  | Check the internal system that controls vehicle movements within the site. Double check the movement of people on the sites as asked by core question 2.4.1. |  |
| 13.1.3. | Are emergency exits marked on buildings and unblocked? |  | Is it certain that people can evacuate buildings in a safe way in case of emergency? Two exits are vital to avoid people getting trapped. Directive 89/654/EEG. |  |
| 13.1.4. | Are signs for site identification and public safety in place? |  | The site boundary should be clearly defined and marked. Public warning/information signs should be in place to prevent unauthorized or accidental access. |  |
| 13.1.5. | In the event of an emergency, is there an assured method for safe evacuation of all personnel and is this publicly displayed? |  | Emergency exits should be marked at the site perimeter. There should be an off-site assembly point, and a head-counting and reconciliation system. |  |
| 13.1.6. | Is the emergency assembly point clearly displayed? |  | Look for placards showing the assembly point and the way to reach it. |  |
| 13.1.7. | Is there a site lighting system? |  | The site lighting system should be such that all movements and operations can be controlled without restrictions and safety hazards. The minimum lighting level shall be that required by national regulations or national authorities guidance. |  |
| 13.1.8. | Is the site paved according to the requirements and the activities that are taking place? |  | Check that all site surfaces where product/equipment handling and movement take place, are made of stable materials (bricks, concrete, asphalted, etc. to avoid holes that could cause safety hazards). Where hazardous liquids are handled the surface should be impervious. |  |
| 13.1.9. | Is the condition of roadways and parking area of an acceptable and safe standard? |  | The condition of the fences, gates, roadways, parking areas and buildings gives an indication on how seriously the site management is interested in quality and safe operation, and not only in commercial affairs. This is also important for the image of the company. Look, for example, at whether there are potholes or pools of water on the parking areas. |  |
| 13.1.10. | Are there designated walkways away from truck traffic? |  | Walkways prevent uncontrolled traffic flow on the site and protect people walking through the use of organized routes on the site. They should be marked out as a permanent feature. |  |
| **13.2.** | **Site operations** |  | **Site operations** |  |
| 13.2.1. | Is there a documented programme for preventive inspection and maintenance covering the following items: |  | A programme should be present, the equipment should be serviced in accordance with that programme and this should be confirmed from records. |  |
| 13.2.1.a. | site compressed air system? |  | No guidelines. |  |
| 13.2.1.b. | storage tanks (including fuel)? |  | No guidelines. |  |
| 13.2.1.c. | electrical installation? |  | No guidelines. |  |
| 13.2.1.d. | fall protection equipment? |  | No guidelines. |  |
| 13.2.1.e. | other equipment subject to regulatory requirements such as elevators, forklift trucks, hoisting equipment, emergency equipment and installations, …? |  | No guidelines. |  |
| 13.2.2. | Are there comprehensive written procedures at the facility including work permit requirements, to ensure safety and to avoid exposure to hazardous materials, for the following operations: |  | Check for each work permit or procedure if the requirements are clearly identified. Check if the work permit system or procedures are implemented by: |  |
|  |  |  | - checking the file of work permits of the last 12 months; |  |
|  |  |  | - checking in detail a few recent work permits (are all the signatures and dates in place, is the necessary PPE listed,…); |  |
|  |  |  | - checking if the requirements of the work permit procedures are understood by the responsible personnel; |  |
|  |  |  | - checking the prime/back-up approval authority. |  |
|  |  |  | The work permit procedures should apply to both work carried out by own personnel and work carried out by contractors (external company doing activities on the site other than logistic services) and should apply to work which is not part of the normal/principal activity in that area. |  |
| 13.2.2.a. | entry into confined spaces? |  | Entry into confined spaces refers to entry into spaces where there is a risk of suffocation or poisoning by lack of ventilation (e.g. entry into tanks). This activity requires a Permit to Work system. Only N/A if no confined spaces are present at the site. Take into account that tanks transporting chemical products are also confined spaces! Be sure that a watchman is present during the entry. |  |
| 13.2.2.b. | breaking of containment (pumps/compressors/ lines)? |  | Breaking containment refers to dismantling pieces of equipment like pumps, valves, etc., which may contain product. This activity may be covered by an operating written procedure with relevant training of staff. |  |
| 13.2.2.c. | hot work? |  | Hot work refers to work involving the use of hot energy sources (e.g. welding). Depending on the area where the work is being undertaken (e.g. flammable area) this may require a Permit to Work or, if away from flammable sources, an operating written procedure may be sufficient. |  |
| 13.2.2.d. | work on electrical circuits/equipment (lock out system)? |  | The auditor should check for a "Lock Out" Permit to Work system, required when working on high voltage electricity. (+1.000 volt). |  |
| 13.2.3. | Are contractors, working on site other than logistics service contractors, provided with relevant health, safety, security, environmental and CSR information to ensure that on site services are performed safely? |  | The assessed company shall take appropriate measures to ensure that staff working for contractors on the assessed company’s site shall receive, in accordance with national laws and/or practices, adequate information concerning the risks and prevention measures required either by the assessed company or for specific tasks.  EU Directive : 89/391/EEG Art. 10 § 2 |  |
| 13.2.4. | Are there also comprehensive written procedures / instructions at the facility for the following operations: |  | The auditor should look for operating procedures and training records of employees that cover the clean-up and disposal of spillages, and also for vehicle segregation when incompatible products are being parked in the depot. |  |
| 13.2.4.a. | clean up and disposal of chemical spillages? |  | Check documentation. This information might be derived from the Safety Data Sheet or from information provided by the manufacturers. |  |
| 13.2.4.b. | parking segregation for vehicles carrying different classes of hazardous product? |  | This procedure should be in place at the site to ensure that large quantities of hazardous chemicals (in tank trucks) are not stored next to each other. This is to minimize the risk in the event of an emergency situation. In some cases this may be specified in the site environmental permit. |  |
| 13.2.4.c. | safe loading/unloading practices? |  | Check process to ensure safe practices according to the Cefic/ECTA "Guidelines for the Safe Loading and Unloading of Road Freight Vehicles" or equivalent.  Operators and/or drivers involved in the process should be trained and a written procedure should be present. |  |
| 13.2.4.d. | cargo securing? |  | Check whether comprehensive written procedures are in place clearly defining all necessary work processes. |  |
| **13.3.** | **Maintenance workshop** |  | **Maintenance workshop** |  |
| 13.3.1. | Are eyewash bottles and safety shower systems available in determined areas within the work area? |  | Fixed safety and eyewash showers should always be installed in the immediate vicinity of working areas where there is potential for a spill. Injured people would not be able to find a remote installation. Check that showers are operational. |  |
| 13.3.2. | Are caution signs installed (no smoking, eye protection, helmet, etc.) and are staff using the required personal protection equipment? |  | Caution signs serve to remind people of good practices. Pictograms are more useful than long text. It is important to show people that using safety equipment is in their own interest. The assessor and the management also have to follow these signs. |  |
| 13.3.3. | Is a fall restraint system in place for workshop operators who carry out repair activities on top of tanks or (tank)containers? |  | The handrail of a tank/silo trailer is not considered to be sufficient protection. |  |
| **13.4.** | **Bulk Storage Tanks (Fuel, Fuelling Area and Waste Storage)** |  | **Bulk Storage Tanks (Fuel, Fuelling Area and Waste Storage)** |  |
|  |  |  | Fuels includes what is required for the operation of the site and/or running of the fleet, but excludes the intermediate bulk storage of chemicals on behalf of customers or for further distribution. The assessor should complete this section by means of a physical inspection and a check of the documented evidence (e.g. drawings, purchase specifications, license, inspection reports, certificates, etc.). |  |
| 13.4.1. | Are the storage facilities approved for the goods stored, identified/labelled accordingly, monitored and maintained? |  | Storage of goods in inadequate tanks can lead to serious accidents. Look for certificates showing the approval of the tanks used. Check labels on tanks and tubes, high level alarms, cathodic protection, bund capacity 110%, etc. Good maintenance includes the prevention of leakages and monitoring of these events. |  |
| 13.4.2. | Is explosion-proof equipment installed if handling flammables ? |  | The necessity for the installation of explosion-proof equipment is described in the ATEX regulation. Such activities should be undertaken in a segregated area. |  |
| 13.4.3. | Is an impervious floor in place at the fuelling area? |  |  |  |
| **13.5.** | **Vehicles and other equipment (trailers, tank containers, IBC's etc.)** |  | **Vehicles and other equipment (trailers, tank containers, IBC's etc.)** |  |
|  |  |  | When operational vehicles/equipment are available on or near the site, the assessor must include a sample check of some equipment during the site inspection, and always document the references in the report, such that the reader has an idea of the type and number of vehicles that were checked. |  |
| 13.5.1. | Are the following items on the vehicles and equipment of an acceptable standard: |  | At some stage during the assessment, the assessor should select at random two or more vehicles (depending on the size of the operated fleet) and check these vehicles against the items listed. If possible, this should be vehicles~~,~~ which have just returned to the site after completing an order, so that the assessor can interview the driver as well as inspect the vehicle. Try to inspect another truck not prepared for the inspection. At the start of the assessment, the assessor should ask to be immediately notified when an incoming vehicle arrives at the site, so that at that stage the assessor can immediately direct his attention to interviewing the driver and inspecting the vehicle, before returning then to the remainder of the questionnaire. Under comments, the assessor should indicate the number of vehicles that were inspected during the assessment. This question is not applicable to companies that have neither own drivers nor FIS. |  |
| 13.5.1.a. | condition of the tyres? |  | Besides the general conditions, check the profile of the tyres used. |  |
| 13.5.1.b. | documentation in the cab? |  | Are all the required documents at hand and is the driver familiar with their contents? |  |
| 13.5.1.c. | condition of cargo securing devices ? |  | Check also the knowledge of the driver about load securing. Check nets, boards and dunnage and verify that sufficient straps/belts are used. |  |
| **14.** | **Handling practices of Food, Food contact Materials and Feed Products** |  | **Handling practices of Food, Food contact Materials and Feed Products** |  |
| **14.1.** | **Is the company applying GMP, GMP+ and/or HACCP principles to the operations?** |  | **Is the company applying GMP, GMP+ and/or HACCP principles to the operations?** |  |
|  |  |  |  |  |
| 14.1.1. | Are there GMP/GMP+/HACCP (or similar) principles as part of the quality system? |  | Check if the quality manual, standard operation procedures and other documents contain chapters or parts with references to GMP/HACCP standards (or similar standards such as FEMAS (Flavour and Extract Manufacturers Association of the United States), FAMI/QS (European Feed Additives and Premature Quality System)). A comment from the assessor is necessary. Which standard has been taken into account when the GMP/HACCP principles have been implemented by the assessed company? E.g. assessed company transports Feed products. Comment: The company has implemented the HACCP principles according to directive Reg 183/2005. |  |
| 14.1.2. | Is there an adequate contamination and degradation prevention written procedure implemented and maintained based upon a risk assessment? |  | Check if a risk assessment towards potential contamination and degradation is in place in combination with adequate contamination prevention procedures. Check if these procedures and the implementation of them can guarantee an acceptable risk level. |  |
| 14.1.3. | Does the management of change procedure consider the impact of changes on the final product quality, performance, composition and regulatory compliance status? |  | Check if the MOC procedure is taking these issues into account, including their potential influence on the quality of food products. Refer to the guidelines about management of change: "Managing Change in a Chemicals Supply Chain": <https://cefic.org/library-item/guidelines-for-managing-change-in-a-chemicals-supply-chain> or equivalent. Look for records of the risk assessment as indicated in section 5. of the guideline or equivalent. |  |
| **14.2.** | **Does the company's personnel policy comply with the special requirements for the handling of Food, Food Contact Materials/Animal Feed Products?** |  | **Does the company's personnel policy comply with the special requirements for the handling of Food, Food Contact Materials/ Animal Feed Products?** |  |
| 14.2.1. | Has the company qualified employees (including administrative personnel) according to a written criteria for the operations of Food, Food Contact Materials/Animal Feed Products? |  | Operational personnel engaged in product sampling, testing, handling, storage, packaging and transportation operations which may affect the quality of Food, Food Contact Materials, and animal Feed products should:  - be qualified for the tasks to be performed in accordance with the company policy,  - have received the proper information and / or training for working on sensitive product applications and for using job-specific procedures (SOP’s),  - practice good sanitary and health practices,  - wear clean clothing adequate for the work performed. |  |
| 14.2.2. | Have all (including administrative) personnel, involved in the handling and distribution of Food, Food Contact Materials/Animal Feed products been made aware of the health risks? |  | All operational, technical and administrative personnel involved in the handling and distribution of Food, Food Contact Materials and animal Feed products should be fully aware of the requirements of these guidelines, and be trained accordingly. Check training records.  Non-operational personal (e.g. logistics, marketing, etc.) must be aware of the risks and regulatory requirements involved in handling and distribution of food related products, and must be included in the training programme. |  |
| 14.2.3. | Is there a person with the specific responsibility, the appropriate education and the appropriate authority to deal with Food, Food (contact) - Feed issues in your company? |  | Check organisational charts. Verify that this person has enough time and resources to assure compliance with these Guidelines. |  |
| **14.3.** | **Are traceability and product conformity issues sufficiently implemented in all processes?** |  | **Are traceability and product conformity issues sufficiently implemented in all processes?** |  |
| 14.3.1. | Is the company able to provide full traceability on product origin and product destination and its own operations? |  | Traceability requires having a process in place for tracking the history of material from the manufacturer’s final storage to the final delivery to customers by means of recorded identification. The entire distribution chain should provide a full traceability (via lot numbers etc.) in order to allow fast and efficient investigation of any quality issue and product recall when required. To be traceable, every delivery should be identified by the product name and a lot number, and should be accompanied by the appropriate shipping and quality documentation. The records should document all shipments of Food Contact products and be properly filed. These records should, as a minimum, identify by batch or lot where and to whom the product was shipped, the quantity, the carrier and the date of shipment.  The assessor will carry out a traceability test by randomly selecting one shipment and asking the company to provide the records mentioned in the paragraph before. This evidence shall be requested at the beginning of the first assessment day and the company will have to answer at the beginning of the second day. |  |
| **14.4.** | **Are there written procedures in place and documentation available to ensure consistency of product quality?** |  | **Are there written procedures in place and documentation available to ensure consistency of product quality?** |  |
| 14.4.1. | Is it ensured that bulk transport equipment and containers received and delivered are properly sealed (if so required)? |  | All tank/silo trucks, rail cars and containers should be properly sealed with tamper-resistant devices, if so required by the shipper/receiver/legislation. It is recommended to record seal numbers on shipping documents. The identification and the integrity of the seals should be checked at the sending and at the receiving locations. Any product received with violated or broken seals should be considered as no longer a Food Contact grade product, unless an investigation of the cause, a risk assessment and a full analysis of all specification items allow a qualified person to re-qualify the product with proper documentation, which is then kept on file. |  |
| 14.4.2. | Are banned lists for particular products available? |  | In the GMP area, some official lists are available from associations. These lists should be used by the companies involved in the particular business sectors. For example, the FOSFA LIST OF BANNED IMMEDIATE PREVIOUS CARGOES which can be used for Food and IDTF for feed products. |  |
| **14.5.** | **Are there appropriate precautions taken to avoid cross-contaminations and degradation during operations?** |  | **Are there appropriate precautions taken to avoid cross-contaminations and degradation during operations?** |  |
| 14.5.1. | Is it ensured that contamination/cross contamination through transport equipment is prevented? |  | Look for procedures in the driver's manual. E.g. cross-contaminations can occur transporting various products with multi-compartment tanks/containers equipped with combined collectors (combined unloading pipes) or when a limited set of unloading hoses are available and used for the unloading. |  |
| 14.5.2. | Is the water and the disinfection products that comes into contact with the food, food contact materials/animal feed materials of a proven suitable quality? |  | Written records of equipment cleaning, maintenance and operations should be maintained. When the cleaning of equipment is necessary, for instance in the case of product change or maintenance activity, a documented cleaning procedure, validated for effectiveness, should be applied. The water and the disinfection products that are used for such cleaning activities should be of a proven suitable quality. |  |
| 14.5.3. | Is each piece of equipment designed and used in a manner that minimizes the potential for contamination or degradation of the product with lubricants, coolants, metal fragments, or other extraneous materials e.g. from pressurized air? |  | Any substance required during the operation, e.g. lubricants or coolants, should not come into contact with Food Contact products. Therefore each piece of equipment used during the process should be designed and used in a manner that minimizes the potential contamination. Design records, practical evidence and maintenance performance/records should be investigated. The substances used as lubricants and coolants should be non-toxic and/or authorized for food grade applications. When pressurized air is used in direct contact with the product, special precautions should be taken to avoid any contamination with extraneous materials like hydraulic oil and particles. |  |
| **14.6.** | **Are there adequate and appropriate hygiene measures maintained?** |  | **Are there adequate and appropriate hygiene measures maintained?** |  |
| 14.6.1. | Are sufficient hygiene measures documented, implemented, validated and maintained for personnel, cleaning, warehouses and transportation? |  | Hygiene measures are to be written into procedures, documents, and billboards, and be validated. These are to be communicated and followed by the personnel. Different measures could be present, depending on the level of hygiene needed/prescribed. |  |
| **14.7.** | **Are written procedures in place for product complaint handling, product recall and incident management?** |  | **Are written procedures in place for product complaint handling, product recall and incident management?** |  |
| 14.7.1. | Is there a product complaint handling/non conformity procedure? |  | Is a procedure present and is it known how a product not complying with specifications, including contaminated product should be handled? This procedure has to include communication requirements. |  |
| 14.7.2. | Is there a product recall procedure? |  | This could be triggered by, for example, a contamination or by quality reasons. A product recall procedure must include the responsibilities of each party, the decision making process to start a recall and the recall action plan components including communications. |  |
| 14.7.3. | Is the product recall procedure tested? |  | A mock recall procedure must be in place and tested periodically. |  |
| **14.8.** | **Are written procedures in place for internal audits?** |  | **Are written procedures in place for internal audits?** |  |
| 14.8.1. | Is there a documented plan for internal auditing of all areas, referenced to the GMP/GMP+ and HACCP questionnaire? |  | On-top of the regular internal audits all areas of this questionnaire are to be audited within a regular timeframe. The assessor will ask for records of the internal audits. |  |
| **14.9.** | **Are appropriate loading and unloading written procedures in place?** |  | **Are appropriate loading and unloading written procedures in place?** |  |
| 14.9.1. | Is there a procedure in place that requires the driver/operator to open only one tanklid at a time during loading? |  | Verify that all loading activities are described in written procedures. It is recommended to use and file a loading checklist, signed by the loading operator. Special attention (and in addition to normal loading and unloading procedures) should be given to the fact that only one tank lid at a time is open during loading. This to avoid contamination of any kind. |  |
| **14.10.** | **Is the entire equipment in contact with products designed to protect product quality?** |  | **Is the entire equipment in contact with products designed to protect product quality?** |  |
| 14.10.1. | Is the loading equipment in contact with products dedicated, or, are validated cleaning procedures applied between loadings? |  | It is recommended that the entire loading equipment, including the piping system, pumps, valves, flow elements, rigid loading arms or flexible hoses are dedicated for only one particular Food Contact product and clearly labelled. Alternatively, the last utilization of the entire loading equipment should be, as a minimum, for the same product of industrial grade or another acceptable Food Contact product. In any case, a written cleaning procedure, validated for effectiveness, should be used whenever a change in product service is necessary. |  |
| 14.10.2. | Is the unloading equipment in contact with products dedicated, or are validated cleaning written procedures applied between unloadings? |  | It is recommended that the entire unloading equipment, including piping systems, pumps, filters, valves, flow measuring elements, is also dedicated for only one particular food, food contact materials/animal feed materials and clearly labelled. Alternatively, the last utilization of the entire unloading equipment should be as a minimum for the same product in industrial/technical grade or other acceptable pharmaceutical or food grade products. In any case, a written cleaning procedure, validated for effectiveness, should also be used whenever a change in product service is necessary. Unloading is preferably carried out by using a pump and a rigid arm or a flexible hose connected to the bottom valve of the transport equipment. A filter on the vapour phase inlet is recommended to avoid ingress of particles during unloading. Alternatively, the unloading may be achieved by pressurizing the transport equipment with clean nitrogen or dry, filtered air. |  |
| 14.10.3. | Is all the equipment in contact with products identified ? |  | Check for proper and resistant labelling of pipes, unloading valves, hoses etc. |  |
| 14.10.4. | Is all the equipment in contact with products capped and/or properly stored after the operation, according to written procedures? |  | The entire equipment including all connections and hoses should be immediately drained and capped after usage in order to avoid contamination with dust and moisture. Flexible hoses and other loading devices have to be properly stored to avoid contamination and misuse. It is recommended to use the customer's own dedicated hoses and connectors for unloading at customer sites. |  |
| 14.10.5. | Does the assessed company seal all valves and openings after loading? |  | According to customer requirements or by default (on own initiative) valves and openings can be sealed after loading. If needed seal numbers are to be mentioned on accompanying documents. |  |
| 14.10.6. | Does the assessed company seal all valves and openings after cleaning? |  | No guidelines. |  |
| **14.11.** | **Are there appropriate written procedures in place in relation to Animal Feed?** |  | **Are there appropriate written procedures in place in relation to Animal Feed?** |  |
| 14.11.1. | Is there a written procedure in place for the cleaning regime in accordance with the GMP+ Animal Feed product database requirements? |  | No guidelines. |  |
| 14.11.2. | Is there a written procedure in place on how to work with the GMP+ Animal Feed Product Database and its updates? |  | No guidelines. |  |
| 14.11.3. | Is there a written procedure in place for the order planning in accordance with the GMP+ Animal Feed product database requirements? |  | No guidelines. |  |
| 14.11.4. | Is there a written procedure in place to establish the Animal Feed product category of a new product to be transported? |  | No guidelines. |  |
| 14.11.5. | Does the company have a written procedure in place to follow the GMP+ Animal Feed required steps, that would allow the re-use of cargo compartments, incl. tanks, after the carriage of any product included in the list of forbidden products? |  | No guidelines. |  |