

**SQAS 2022 Warehouse**

**Questionnaire & Guidelines Revised version 2**

  

Version 13/01/23

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| **SQAS 2022 Warehouse Revised version 2 - Questionnaire & Guidelines - English version –** **New text with regard to 2019 version is in blue. 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.** | **Fire Protection Management** |  | **Fire Protection Management** |  |
| 6.1. | General |  | General |  |
| 6.1.1. | **Fire Plan** |  | **Fire Plan** |  |
| 6.1.1.1. | Has a fire risk assessment been performed together with the responsible local authorities and the local Fire Brigade, and has the resulting fire protection management (Fire Plan) been implemented? |  | The government agency issuing the operating permit will have specified the requirements with regard to the fire protection management system. Verify if such requirements are detailed in the permit or in an expert's report prepared and signed by the official fire service. |  |
| 6.1.1.2. | Is the fire protection management system in compliance with the requirements of the operating permit? |  | The system has to be checked against the requirements. This can be done by the local authorities or by an independent competent party. |  |
| 6.1.1.3. | Has an up to date Fire Plan been handed over to the local authorities/local Fire Brigade or can they get access to the Fire Plan at any time on-site? |  | Proof has to be available. |  |
| 6.1.1.4. | Is it assured that the Fire Plan is updated periodically (less than 5 years) to reflect significant changes related to the products stored, the quantity stored and the constructional, technical and administrative fire protection features? |  | Look for a management of change process and validate that it is executed by assessing a recent change-notification. |  |
| 6.1.2. | **Storage and segregation requirements related to Fire Protection** |  | **Storage and segregation requirements related to Fire Protection** |  |
| 6.1.2.1. | Is segregation applied between the different products as per national permit, guidance and/or regulations?  |  | Preferably, the storage of flammable products should be in a separate building of approved construction and within the boundaries of the maximum defined square meters fire area. If storage is not in separate buildings, separation from other products is required. Protection should consist of walls and fire doors in accordance with local requirements. Check fire resistance rates. Verify storage of the various products involved. Verify possible restrictions included in SDS. Seveso directive 2012/18/EU- GHS directive 1272/2008 - Directives 98/24/EU and 2007/30/EC. |  |
| 6.1.2.2. | Is there a procedure to prevent products not listed in the operating permit being stored in the warehouse (including products in transit)? |  | Verify that this check is part of the product and warehousing order acceptance process. |  |
| 6.1.2.3. | Is there a procedure to ensure that the permitted storage limits (by law or by operating permit) are not exceeded at any time? |  | Verify that this check is part of the product and warehousing order acceptance process. |  |
| 6.1.2.4. | Is there a procedure to ensure that aerosol packaging with flammable gases are stored in separate rooms, or in metal cages, to protect the warehouse against fire spreading due to igniting aerosol packaging? |  | Check the warehouse storage position against procedures. |  |
| 6.1.2.5. | Are flammable products, or products which contain flammable gases, not stored in basements? |  | This is to prevent a dangerous accumulation of ignitable gases or vapours, because basements are often poorly vented. |  |
| 6.1.2.6. | Are filling and blending operations only taking place in areas separated from the storage area by fire resistant walls? |  | Verify that this check is part of the product and warehousing order acceptance process. Risk of fire in areas with open handling of flammable liquids is much higher than in storage areas and should therefore be separated. |  |
| 6.1.3. | **Access and emergency exits** |  | **Access and emergency exits** |  |
| 6.1.3.1. | Is unrestricted site access (to premises and buildings) available to the emergency service at all times (24hr and 365d per year)? |  | Check during field inspection round and interview operators and forklift drivers to check common practices at the site. Check whether the keys for all the gates and buildings on the premises are issued to the emergency service, or whether the keys are kept in a key box on the premises which is accessible to the emergency service. |  |
| 6.1.3.2. | Are there sufficient emergency exits (at least two per fire compartment, creating separate escape routes) and are they clearly marked, with unrestricted access always? |  | Check during field inspection round and interview operators and forklift drivers to check common practices at the site. Also check any reports of daily inspection rounds. Make a comment, if there is only one emergency exit but it has been recognized and approved by the Fire Brigade or Competent Authority written specifications. Check also if the emergency exits are unblocked and unlocked. |  |
| 6.1.4. | **Fire water supply** |  | **Fire water supply** |  |
| 6.1.4.1. | Does the Fire Plan address the required fire water supply for the warehouse in terms of volume, pressure and reliability? |  | Check the practice against the Fire Plan. A sufficient fire water supply should be at least 2.400 l/min for two hours duration. |  |
| 6.1.5. | **Retention measurements** |  | **Retention measurements** |  |
| 6.1.5.1. | Are measures taken to adequately contain contaminated fire water? |  | Check that a calculation has been made to define the volume of fire water contained by the site and whether this has been discussed with the fire authorities. |  |
| 6.1.5.2. | Are measures taken on transport ways and loading/unloading areas to adequately contain spilled product? |  | Check by field inspection that the valves to the sewer system are normally closed. Check if the surface is made of crack-free asphalt or concrete. Check if the drainage system is blockable by manual or fixed/installed systems. |  |
| **6.2.** | **Constructional fire protection** |  | Constructional fire protection |  |
| 6.2.1. | Does the constructional fire protection of the warehouse comply with the local regulations and standards and is it documented in certificates, and if not, are there signed permissions by local authorities for the deviations? |  | Look for certificates and compare with local legislation or permits. Check the practice against the Construction Plan during the field inspection round. |  |
| **6.3** | **Technical fire protection** |  | **Technical fire protection** |  |
| 6.3.1. | Does the technical fire protection of the warehouse (e.g. smoke detection, fixed extinguishing system, smoke and heat vents, fire extinguishers) comply with the local regulations and standards and is it documented in certificates? |  | Check the practice against the Fire Plan during the field inspection round. Look for certificates and compare with local legislation or permits. |  |
| 6.3.2. | If deviations from regulations are implemented, are there signed permissions by local authorities for the deviations? |  | The fire plan (ref. Q 6.3.1.) may be deviated from, for a period of time. These deviations should be agreed by the relevant authorities and documented. The question can be scored positively if all deviations (if any) are recorded and agreed. Besides that, the practical situation should be checked against the Fire Plan during the field inspection round and found in compliance. |  |
| 6.3.3. | Is fire protection equipment maintained, tested and checked on a regular basis? |  | Look for certificates or inspection labels on the equipment itself or logbook entries. Examples are automatic closing fire doors, smoke detectors, sprinklers, fire hoses, hydrants, etc. |  |
| 6.3.4. | If equipment using naked flames or generating sparks is operated, has a suitable risk assessment been undertaken and documented, and is the equipment used in a designated safe area, away from the storage of flammable products and combustible materials and which is suitably ventilated? |  | Risk assessment regarding this equipment should be present if such devices (gas heaters, .. ) are used. Sparks, for instance, generated by shrink wrap around pallets or boxes in packaging lines are also a risk that must be considered under the scope of this question.If such equipment is not used (or cannot be used) this question is N/A. (temporary) Work requiring permits are handled in chapter 10.1.4 |  |
| 6.3.5. | Are products and combustible material stored away from ignition sources at a distance of at least 1.5 m? |  | The assessor will check the practice against the Fire Plan during the field inspection round. The assessor will check that combustible material is stored at a distance more than 1,5 m from possible ignition sources like heating-systems, lights, charging-stations, etc. |  |
| 6.3.6. | Is the restriction for non-smoking respected? |  | It has to be clearly indicated that smoking is prohibited and that this is also followed and controlled. Check that there are no cigarette butts on the floor of the areas where smoking is prohibited. |  |
| **6.4.** | **Administrative fire protection** |  | **Administrative fire protection** |  |
| 6.4.1. | In case of emergency, is there a procedure for safe evacuation? |  | Evacuation should be a part of the emergency/fire plan. It should also be tested annually or more often if prescribed by local legislation and all employees should be aware of the content of this procedure.It is recommended that nominated persons are trained and available to support the site / building evacuation except when the nomination of such persons is a legal requirement. In this case they have to be appointed.  |  |
| **6.5.** | **Fire fighting** |  | **Fire fighting** |  |
| 6.5.1. | Are nominated persons available who have received specific training in the use of fire protection devices?  |  | No guidelines. |  |
| 6.5.2. | Is there at any time, an up to date list of stored products available in the event of an emergency at the site, showing all relevant information (quantities, locations, hazards)? |  | Look for the list and validate from the date and inspection round whether the list is current. |  |
| 6.5.3. | Has the response time and the level of response of the local Fire Brigade to an incident on site been assessed, and have the results been written into the Fire Plan? |  | Check the Fire Plan. |  |
| 6.5.4. | Is the requirement for spill clean-up equipment defined in a risk assessment, and is such equipment readily available? |  | Mitigating measures may require spill clean-up equipment. Validate through interview the knowledge of the operator to handle the spills. Check the equipment during the field inspection round (sewer covers, sewer blocking systems, absorption material, oversize drums, emergency product pumps, etc.). |  |
| 6.5.5. | Is adequate PPE available for handling spillages and are appropriate personnel trained in its use? |  | Validate through operator interview and check the equipment during the field inspection round (protective gloves, goggles, inhalation protection, rubber boots, etc.). |  |
| 6.5.6. | Are enhanced spill prevention procedures and protection measures taken for products that can produce toxic fumes (e.g. sodium hypochlorite)?  |  | No guidelines. |  |
| 7. | **Storage and Handling Practices** |  | **Storage and Handling Practices** |  |
| 7.1. | General |  | General |  |
| 7.1.1. | Is the warehouse structure in visibly good condition? Absence of corroded steel, no holes/damage in the wall or roof, no broken windows, are there indications of a good condition of the warehouse? |  | Check the condition of the warehouse and warehouse area by making a field tour.  |  |
| 7.1.2. | Is housekeeping in the warehouse at a good standard (e.g. clean, tidy, paintwork, no spills, etc.)? |  | A warehouse should carry out housekeeping on a regular and routine basis. Assess the general standard of housekeeping. Is it done daily, weekly or when necessary? |  |
| 7.1.3. | Is there a sanitation procedure in place to control pests, such as rodents, bugs and birds? |  | Pests such as rodents, bugs and birds can be a burden in the warehouse(s). Assess whether sanitation is controlled and in existence, and whether any infestation is removed. Assess whether there is a complete and documented sanitation programme in place. |  |
| 7.1.4. | Are exhaust emitting vehicles excluded from the warehouse, other than forklift trucks? |  | Normally only Forklift Trucks are used in the warehouse for material handling purposes. In principle, other exhaust emitting vehicles should not be allowed, to protect operators and their working conditions. In some cases, taut liners or tilt trailers could enter for loading/unloading. In that case, the truck engine should be shut off as soon as the vehicle is in place. |  |
| 7.1.5. | Are diesel powered forklift trucks excluded from the warehouse? |  | The standard is LPG or electrical. Diesel is not desirable, as all other types are cleaner. |  |
| 7.1.6. | Is the floor liquid tight? |  | Check the condition of the floor where the floor should be liquid tight. |  |
| 7.1.7. | Are measures taken in loading/unloading areas to adequately contain spilled product? |  | Refer to national legislation or guidance where it exists, e.g. the containment capacity must be proportionate to the planned activity (e.g. unloading small packs or unloading a tanker).  |  |
| 7.1.8. | Are the loading/unloading docks safely accessible for vehicles (clearly signed, suitable road width, no difficult turns)? |  | Loading/unloading docks should be clearly marked with signs. |  |
| 7.1.9. | Are loading/unloading docks protected against collisions? |  | Check some loading/unloading docks. If docks are damaged, check also the nonconformance documentation. |  |
| 7.1.10. | Does the warehouse have good general ventilation, meeting local requirements, and is it maintained in an operational condition? |  | Check the ventilation system. "Two air changes per hour" is recommended. |  |
| 7.1.11. | For the storage of highly flammable products, is adequate ventilation provided, through e.g. upper and lower louvres, unobstructed in at least 2 facing walls or through forced ventilation? |  | In accordance with local requirements |  |
| 7.1.12. | In those cases where products are stored outside, has the customer agreed to that? |  | Look for a documented agreement. |  |
| 7.1.13. | Are the conditions for outside storage of products defined and met? |  | The conditions can be defined by customers, legislation or guidance. |  |
| 7.1.14. | Are external storage areas adequately maintained? |  | Check the state of the surfacing of yards and roads. If needed (for the products to be stored) impervious flooring should be present where required by the product. |  |
| 7.1.15. | Can the forklifts operate easily and safely inside and outside the warehouse? |  | Check the general condition of the roads and loading docks regarding forklift accessibility.  |  |
| 7.1.16. | Are traffic flow directions clearly marked?  |  | Whilst establishing whether traffic flow directions/notices are clearly marked, checks should be made to establish that the traffic flow is free from obstructions. For questions 7.1.17/18/19 more guidance can be found in Annex 2 of the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles"<https://cefic.org/library-item/best-practice-guidelines-for-safe-un-loading-of-road-freight-vehicles>  |  |
| 7.1.17. | Is traffic controlled on site?  |  | The risk from traffic on site should be limited. Ideally this should be documented in the site risk assessment. |  |
| 7.1.18. | Is vehicle reversing controlled on site? |  | Where vehicle reversing is necessary on site, a risk assessment and procedure should be available. Reversing can be done with the aid of a warning system, under accompaniment or not permitted at all. |  |
| 7.1.19. | Is the warehouse equipped with mirrors in areas without good views or are claxon/horns used? |  | Check risk assessment and procedures, presence of mirrors, practice  |  |
| 7.1.20. | Are yards, roads, paths and steps, properly surfaced, in good condition, clean and free from obstructions? |  | Check yards, roads, paths and steps. |  |
| 7.1.21. | Is the following waste segregated for disposal/recycling in a safe and practical way and are waste bins available and emptied regularly?  |  | Look for appropriate waste transfer notes. Check that the waste containers are correctly identified, labelled and contain waste properly segregated. |  |
| 7.1.21.a. | general site waste such as cartons, paper and broken pallets that needs to be disposed of separately. |  | No guidelines. |  |
| 7.1.21.b. | product waste (hazardous and non-hazardous) |  | No guidelines. | M |
| 7.1.22. | Are emergency showers, where required by the risk assessment, located close to all appropriate work areas, and ready to use. |  | A risk assessment should define the need and placement of these facilities. Places where corrosive, irritant and toxic products are handled should be included. Safety Data Sheets (SDSs) can be consulted. Directive 89/391/EU. |  |
| 7.1.23. | Are unauthorised discharges into controlled waters prevented? |  | There should be a map showing storm water drains and any other effluent pipes, such as the foul sewer (usually flows to municipal sewage plant). It is important that the storm water drains have adequate and maintained controls to prevent unauthorised discharges into rivers and public drains. 'Controlled waters' are usually defined by legislation and are rivers, streams, lakes and coastal waters. | M |
| 7.1.24. | Where emergency containment is in place, are there systems and procedures to ensure that containment is kept empty? |  | Emergency containment should be always empty so that any leakage can be identified instantly. |  |
| 7.1.25. | Is there a procedure which describes the way to keep the water treatment units in good condition? |  | Procedures and training should be present. | X |
| **7.2.** | **Storage conditions** |  | **Storage conditions** |  |
| 7.2.1. | Are the racking systems in accordance with local requirements, in good condition, protected from vehicle collision and from weathering? |  | Check condition of the racks. |  |
| 7.2.2. | If racks were installed in the last 3 years, were they inspected prior to initial use? |  | Racks need to be inspected prior to initial use either by:- the rack manufacturer/rack installer: in this case the assessor will ask for a racking installation certificate- a staff designated person: the assessor will check that records of his/her training as inspector are available and that the company has appointed him/her as responsible for initial inspection. |  |
| 7.2.3. | Is storage racking operated within maximum loading limits? |  | Maximum loading limits should be calculated (constructor/user) and can be dependent on the products (packages) stored on the racks. Check several stacks. |  |
| 7.2.4. | Is the maximum weight indicated on the racks? |  | Check if the maximum weight is indicated on the racks. |  |
| 7.2.5. | Are all stored products and packaging materials stacked properly and safely in the warehouse(s)? |  | The stacking requirements are defined for specific reasons. The basic reason has to do with the structural strength of the packages involved. Requirements - such as total stacking height - may also be defined by the environmental and/or operational licenses. Further requirements may be defined by the customers of the assessed company. Possible sources for this information are the Safety Data Sheets or the warehousing contract. The assessor should look for evidence in the warehouses that storage is in compliance with these requirements.The assessor should further check general storage conditions during an inspection round. If generally stacked packages are considered unstable and/or unsafe, the question should be scored negatively, and the assessor must include a comment on his/her findings. |  |
| 7.2.6. | Are empty pallets stored inside the warehouse at dedicated places and is the quantity limited to maximum half-a-day use in production? |  | The storage of empty pallets inside the warehouse should be kept to a minimum, preferably to a maximum half-day of production. If so stored, preferably it should be done in dedicated areas. Further, it is essential that stack height is limited to maximum two meters, preventing additional risks from a chimney effect in case of fire. Furthermore, it is not allowed to store pallets in some storage areas (e.g. storage areas for flammable liquids, according to International Standards) Where the number of empty pallets exceeds half a day production but is under the fire load calculation, a positive score shall be granted ( a comment must be made by the assessor). |  |
| 7.2.7. | Are empty pallets stored outside the warehouse at a safe location? |  | Check distance between the warehouse walls and other obstructions. |  |
| 7.2.8. | Are stack heights of empty pallets outside the warehouse limited to the transport stack height (approximately 3 meters), if not supported?  |  | Check storage area of the empty pallets. |  |
| 7.2.9. | Are there floor markings in the warehouse indicating storage spaces and staging areas and do these comply with national and/or additional individual company guidelines? |  | Floor markings are essential in the warehouse(s) to indicate storage spaces, staging areas, routes, etc. Assess whether this is adequate as well as sufficient aisle space, taking into account the minimum required distance between stored packaging and warehouse wall. Verify the existence of national and/or additional individual company guidelines and check whether these are all followed. |  |
| 7.2.10. | Are there markings in the warehouse indicating walkways? |  | Check if walkways or indications are present to protect pedestrians. |  |
| 7.2.11. | Are products stored with regard to temperature and ventilation requirements, if any? |  | Temperature and ventilation requirements should be in compliance with national regulations. In addition, specific individual supplier's requirements might exist, as documented in their Safety Data Sheet or other provided information. Where needed, indirect heating such as steam/ warm air is recommended. Such systems should be safe and permanent. Airflow should not be directly onto stored goods, and stored goods should be at a safe distance from the heat source. Temperature regulation/control devices should be visible and accessible.  |  |
| 7.2.12. | Has the storage area been ATEX assessed and are the resultant zones, if applicable, clearly identified on site, and has a site plan been developed and communicated to all relevant personnel?  |  | A zoning plan has to be present for all the storage area and identified according to this ATEX assessment. The assessor should ask for the Explosion protection document (Article 8 Dir 99/92 EU). ATEX assessment is applicable when handling flammable products and with certain solid products, when its dust can form explosive atmospheres.  |  |
| 7.2.13. | Is all equipment used in classified zones in accordance with the ATEX classification? |  | The equipment used in a classified zone has to be in accordance with the classification. Check equipment and certificates. |  |
| 7.2.14. | Are all packaged goods labelled in accordance with legislative requirements? |  | Labelling requirements should be applied to every package. Dir 1272/2008 is applicable.  |  |
| 7.2.15. | Is there a procedure for the handling, storage, retention and disposal of samples? |  | Samples should be stored in accordance with local legislation and in conditions that their quality can be guaranteed during the retention period. Disposal of samples to be according to customer requirements and waste regulation.  |  |
| 7.2.16. | If samples have to be taken, is the work undertaken in accordance with the procedures, by a trained and competent site operator or appointed surveyor with adequate safety precautions?  |  | Check procedures, the competence of employees and the presence of applicable PPE and other applicable equipment. |  |
| **7.3.** | **Material Handling Equipment (MHE)** |  | **Material Handling Equipment (MHE)** |  |
|   |   |  | MHE's mean all kind of powered material handling equipment such as Forklift Trucks, Reach Trucks, Order pickers, etc.. The equipment requirements and use should be included in the risk assessment. Local legislation should be checked. |  |
| 7.3.1. | Is a procedure implemented to ensure: |  | Check that all items (a-k) are documented in a procedure. Check if rules are in place and obeyed, to ensure good communication interface between the movements of MHE and operators/other people present in the warehouse. Check also if protection measures (i.e. use of wheel blocks, driving to truck) are in place when forklifts are driving on mobile ramps, when in use. |  |
| 7.3.1.a. | that MHE operators are trained by a qualified specialist? |  | A qualified specialist is a person recognized by the competent authority, or a person internally recognized by the management and qualified as such by his job description. |  |
| 7.3.1.b. | that newly appointed MHE drivers are subject to an initial training program? |  | The assessor will check training records in relation to accidents and damage. Dir 89/391.  |  |
| 7.3.1.c. | that a driver refresher training program is in place? |  | Refresher training should be dependent on the risk assessment in relation to local legislation, non-conformances and incidents.  |  |
| 7.3.1.d. | that MHE operators are protected (by e.g. wearing seatbelts, closed cabin, re-enforcements)? |  | Check use and state of equipment. |  |
| 7.3.1.e. | that rules are established on the interface between forklifts and pedestrians (including truck drivers)? |  | Check procedures/instructions/signs and practice. |  |
| 7.3.1.f. | that protection measures are in place driving upon mobile ramps? |  | Mobile ramps should be secured during use, and it has to be ensured that trailers are blocked during (un)loading. |  |
| 7.3.1.g. | that the MHE ignition key is secured to prevent unauthorized use? |  | Check where the ignition keys are kept. Are these only accessible to authorized personnel?  |  |
| 7.3.1.h. | that audible/visual warnings (lights, horn) are used when driving backwards? |  | The assessor will check that the requirements are in place during the inspection of the warehouse. |  |
| 7.3.1.i. | that MHE's are equipped with safety mirrors (for blind spots)? |  | The assessor will check that the requirements are in place during the inspection of the warehouse. |  |
| 7.3.1.j. | are MHE lifting equipment such as big bag lifting frames, drum lifting frames etc. marked with maximum capacity and tested (certificate)? |  | The assessor will check that the requirements are in place during the inspection of the warehouse. |  |
| 7.3.1.k. | that only explosion proof MHE can enter in ATEX area, non-explosion equipment can also enter when equipped with gas detectors (storage area, filling/blending area)?  |  | No guidelines. |  |
| 7.3.2. | Are pre-start checks done and documented by the MHE operator on daily/shift basis? |  | No guidelines. |  |
| 7.3.3. | Is a procedure in place for battery recharging and/or the refuelling of Material Handling Equipment? |  | Verify procedure (electrical MHE must be recharged in a ventilated building (or shed). Check if the procedure is correctly followed. |  |
| 7.3.4. | Is the recharge area defined, indicated, ventilated and are PPE requirements specified? |  | Check the recharge area. Comments are compulsory. |  |
| 7.3.5. | Is the driving behaviour of MHE drivers safe and checked frequently? |  | Observe speed, forward driving without view, use of PPE, no double stacked transport, non-use of present mirrors or horns, unsafe condition of forks while driving empty, etc. Check also non-conformances and training programme. |  |
| **8.** | **Behaviour Based Safety** |  | **Behaviour Based Safety** |  |
| 8.1.  | BBS programme |  |  |  |
|   | Does the company have a BBS programme in place for warehouse operations?  |  | Chapter 1 of the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles" provides information about the various levels in BBS application in any assessed company. The assessor must indicate in the compulsory comments the level he/she found in the assessed company. |  |
| 8.2. | BBS Training |  | BBS Training |  |
| 8.2.1. | Is BBS taken into account when reviewing the training requirements of managers and planners? |  | BBS must be fully integrated in the warehouse’s organisation and become an integral part of the company’s culture. Not only operators, but also ancillary and administrative staff, should be trained in and understand the principles of BBS. Look for training records and awareness. |  |
| 8.2.2. | Have internal or external persons been formally selected and designated as qualified BBS trainers?  |  | Trainers can be recruited internally or externally. In the case of internal trainers, it is advisable that these have an independent position and relationship with the operators. Ask for trainer history and both previous and current positions. Besides being an experienced and respected operator (of at least five years), the trainer must be a good teacher, objective, motivated and able to convey the message in a positive way. Try to have a talk with the BSS trainer in order to evaluate his BBS knowledge, communication and interpersonal skills. Smaller companies will be more likely to seek a trainer from a training institute. |  |
| 8.2.3. | Has the BBS warehouse operator training content and format (based on observation, coaching and interactive communication) been developed?  |  | 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 operator, with the trainer observing and coaching whilst addressing the behavioural skills of the operator. |  |
| 8.2.4. | Has the BBS warehouse operator training frequency been defined and is it implemented? |  | Check training plan. The frequency may vary between once every 1 to 3 years, depending on the annual performance review of each individual operator. |  |
| 8.2.5. | Is a personal BBS-record kept on each warehouse operator with the observations made on their behavioural skills? |  | Check the training records. Any person employed longer than three months has to be fully trained. Others have to be included in the programme. Comments to be included at all times. This question is also applicable to fully integrated subcontractors (operators).  |  |
| 8.3. | BBS Results, Analysis and Monitoring |  | BBS Results, Analysis and Monitoring |  |
| 8.3.1. | Are individual results from the BBS training communicated to the warehouse operators, preventive actions agreed, recorded, and implemented? |  | Check the training and individual warehouse operators’ records. Ask operators (and integrated subcontractors) if they are informed about the outcome of their BBS training and the follow up from it. |  |
| 8.3.2. | Are annual key performance indicators (individual or group) 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. In order to score positively, the assessed company must measure the following KPIs for own employees and subcontracted warehousing employees. (The ECTA R C programme and KPI reporting - or an equivalent system - could be the reference point for companies to use). Ref. <http://www.cefic.org/Responsible-Care/> or [www.ecta.com](http://www.ecta.com)  |  |
| 8.3.2.a. | - number of lost time accidents and personal injuries? |  | Occurrences to own employees and subcontracted warehouse employees that happened on the site should be included. Injuries during travel to and from work should be excluded. |  |
| 8.3.2.b. | - 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 hours worked. For calculation purposes it is assumed that every employee works 2000 hours per year.Example: A company had 2 lost time injury incidents (LTI) in one year and has 3 employees (6000 hours worked in the year). The Lost Time injury Rate will be: (2 lost time injury incidents / 6000 hours worked) x 1 million hours worked = 333 LTI / million hours worked |  |
| 8.3.2.c. | - average days of training per year? |  | This KPI measures the number of training days of own employees (office and warehouse staff) and any subcontracted employees per year divided by the number of employees. Cross check with the training programme and the individual operator records. |  |
| 8.3.2.d. | - accidents/incidents/spills statistics? |  | No guidelines. |  |
| 8.3.2.e. | - levels of damage to storage equipment (e.g. racking) and cargo/inventory? |  | No guidelines. |  |
| 8.3.3. | Are the overall results and trends on above indicators analysed and are causes identified? |  | Look for analyses of the recorded observations. |  |
| 8.3.4. | Are these results, the structural trends and issues reported and discussed with the warehouse operators at regular intervals? |  | Check that the overall results and trends as identified in 8.3.3. are documented as learning experience and included in the refresher training. |  |
| 8.3.5. | Are the results and learning from BBS reflected in the refresher programmes? |  | Check for a project file with documented implementation plan and up to date status. Check whether observations/results are filed, reported to operators/customers, analysed and used by the company to trigger corrections and improvements.  |  |
| **9.** | **Security in Warehousing** |   | **Security in Warehousing** |  |
| 9.1. | Has a security plan been developed and implemented for storage proportionate to the risks either in accordance with applicable legislation or the application of Best Practice? |   | The security plan should be the outcome of the security risk assessment carried out in the SQAS Core. Check from recent transactions, whether Dangerous Goods are being stored/ transported. For Dangerous Goods the haulage/warehousing company should develop and implement, as part of Best Practice, a security plan. Further to this, it is advised also to add food/pharma substances and goods destined to the USA on the list. The Dangerous Goods list is only indicative, and additions may be made whenever significant changes are noticed and considered necessary. |  |
| 9.2. | Are doors of the warehouses closed and locked to prevent unauthorised access when there are no operations? |   |   |  |
| 9.3. | Do visitors to the site have to sign in and sign out? |   | The assessor has to be required to sign during the assessment. |  |
| 9.4. | Are visitors accompanied? |   | Look for a procedure that requires visitors to be accompanied. Check records of past visitors. |  |
| 9.5. | Are warehouse operators provided with company work wear? |   | Company work wear helps to check if unauthorised persons or third-party persons (like mechanics) are present in the warehouse.  |  |
| 9.6. | If a CCTV system is required by customer(s) or other parties, is it in place? |   |   |  |
| 9.7. | Is the CCTV data storage protected against loss and tampering? |   |   |  |
| 9.8. | Is the CCTV data storage area protected against unauthorised access? |   |   |  |
| 9.9. | Is it clearly indicated with signs that camera surveillance is applied? |   |   |  |
| 9.10. | Is a checking system in place to ascertain that camera positioning is maintained and that cameras are properly working? |   |   |  |
| 9.11. | If required by customer(s) or third parties, are there other security control systems installed?  |   | First level of security control consists of locked doors and gates (see question 9.2). Second level (advanced examples) are the following: - Infra-Red Light BarrierInfra-Red light beams at various heights form a fence of its own. Alarm goes off when one beam or more is/are interrupted. Best known from popular spy and burglary movies. Can also be used as a single beam with a receiving eye at a distance - when the beam is interrupted, the alarm goes off. Used for Gate area, window fronts, fence climbing.- Laser ScannerSame principle as the IR Beam, Laser Beam from one side caught by an eye at the other side, when interrupted the alarm goes off. Can be used at over quite a distance. Used for gate area, window fronts, fence climbing.- Magnetic AlarmMostly used for Door/Window/Gate alarms.- Cable Continuity Interruption alarm.Mostly used for fences and gates. A cable is put under an electric charge and the continuity is measured. If it is interrupted (e.g. by somebody cutting the cable) the alarm goes off.Note: Reference to "Guidelines for the security of the transport of dangerous goods by road", Annex 1, Temporary storage areas:<https://cefic.org/library-item/guidelines-for-the-security-of-the-transport-of-dangerous-goods-by-road>  |  |
| 9.12. | Is there a procedure in place to identify if stored products have been tampered with, or/and are missing? |   | Look for the results of annual stock taking.This issue may also be additionally covered by periodic inspections of the stored goods, partly by the issue given attention through clear instructions to operational staff on what to notice when seeing product at any time during its stay at the warehouse facilities. Closed Circuit TV, random checks,  |  |
| 9.13. | Are seal discrepancies investigated thoroughly, the shipment rejected if necessary, security personnel notified and extreme care taken if there is evidence of seal tampering?  |   | Check the practices on sealing through interviewing drivers and verifying the instructions. Look for a sealing procedure and the unique numbered seals to be recorded on transport documentation.Especially, look for evidence that seal discrepancies in inbound deliveries are recorded and actions taken. |  |
| 9.14. | Does the site have adequate security lighting? |  | There are two aspects to this question:Firstly, is the site well lit from a security point of view? This is a recommendation for dangerous goods to allow adequate safeguarding and secondly, is the lighting maintained? The assessor shall ask for records of periodic walk around checks that the lights are working adequately, these checks shall have a maximum quarterly frequency. The assessor will also ask for maintenance records of the lighting system (luminaires should be cleaned, and any defective lamps replaced) with a minimum annual frequency.  |  |
| **10.** | **Site Operating Procedures and Customer Interface** |   | **Site Operating Procedures and Customer Interface** |  |
| 10.1. | Site Operating instructions and practices |   | Site Operating instructions and practices |  |
| 10.1.1. | Does the site have all the required operating licenses in line with the activities carried out? |   | The assessor will check against the PAD |  |
| 10.1.2. | Are all processes defined in the warehouse scope covered in written operating procedures? |   | Verify whether there are procedures in place for all activities to be carried out in the warehouses and described in the licenses. Check whether the procedural prescriptions are fully followed in daily practice and whether these activities are satisfactorily supervised. |  |
| 10.1.3. | Is the documented system that is in place for recording and investigating non-conformances, as it was asked in 5.1.2./3., applied to specific warehouse services such as package/receptacle, packing/unpacking, seal discrepancies? |   | This question should be seen in combination with question 5.1.2./3. and scores positively only if there is a documented system in place for recording and investigation*,* clarifying what is a non-conformance, who must report, how and to whom, who must investigate and the process of follow-up and close out of corrective actions. |  |
| 10.1.4. | Are there comprehensive procedures at the facility including work permit requirements and marking of the work area, to ensure safety and to avoid exposure to hazardous materials, for non-standard and high risk operations such as:  |   | 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 and should apply to work which is not part of the normal/principal activity in that area. |  |
| 10.1.4.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. Also be sure that a watchman is present during the entry. |  |
| 10.1.4.b. | - breaking of containment (pumps/compressors/lines)? |   | Breaking containment refers to dismantling pieces of equipment like pumps, valves, which may contain product. This activity may be covered by an operating procedure with relevant training of staff. |  |
| 10.1.4.c. | - hot work? |   | Hot work refers to work involving the use of hot energy sources (e.g. welding), and is dependent on the area where the work is being undertaken (e.g. Flammable area). |  |
| 10.1.4.d. | - work on electrical equipment? |   | Applicable in electrical equipment working above the following voltages: 50 Volts for AC and 120 Volts for DC, or limits required by local legislation (whichever is more strict). A tag out/lock out procedure should be in place so that the equipment under maintenance cannot be switched on. |  |
| 10.1.5. | Is there evidence that personnel working in related activities are suitably trained? |   | People involved in the above activities must have received proper training in using the equipment specified, including use of personal protective equipment (PPE). Verify records and ask the people directly involved. |  |
| 10.1.6. | Are gas bottles used in the above work, safely stored before/during/after use? |   | Empty and full bottles have to be segregated and protected from the weather in extreme conditions. Also oxygen and acetylene bottles are to be segregated when not in use. |  |
| 10.1.7. | Are there also comprehensive procedures / instructions at the facility for following operations:  |   | The auditor should look for operating procedures and training records of employees that undertake the following operations. |  |
| 10.1.7.a. | - use of nitrogen ? |   | The danger of nitrogen (if applied e.g. during blending or filling) has to be described, as well as the precautionary measures to be taken when working with the gas. |  |
| 10.1.7.b. | - working at height (based on risk assessment) reflecting the hierarchy of requirements? |   | Hierarchy is : not working on height preferred, but if required, provision of a fixed gantry, provision of a mobile gantry and lastly a fall restraint system. Look for a detailed risk assessment plus controls and procedures that reflect the hierarchy in the question. Refer to the "Best practice guidelines for safe working at height in the logistics supply chain".<https://cefic.org/library-item/best-practice-guidelines-for-safe-working-at-height-in-the-logistics-supply-chain>  |  |
| 10.1.8. | Is there a documented programme for preventive inspection and maintenance covering the following items : |   | Look for written evidence where any of the equipment (listed a to h below) is in use on the site. |  |
| 10.1.8.a. | - warehouse equipment ? |   | The question refers to Material handling Equipment (MHE), dock levellers, racks and mobile ramps. With regard to racks, a monitoring and maintenance procedure should be present and implemented. Check reports of monitoring and maintenance/repair reports according to the norm EN 15635 Steel static storage systems - Application and maintenance of storage equipment. Results and status of the monitoring and maintenance of the racks has to be traceable. |  |
| 10.1.8.b. | - emergency alarm systems (audible and/or visual)? |   | Examples of these are systems with the alarm going off, and simultaneously warning flashlights and/or audible alarms going off outside the warehouse building(s). |  |
| 10.1.8.c. | - fire doors? |   | No guidelines. |  |
| 10.1.8.d. | - interior lighting system, electrical installation? |   | No guidelines. |  |
| 10.1.8.e. | - lightning and earthing systems? |   | No guidelines. |  |
| 10.1.8.f. | - emergency showers, eyewash equipment and first aid devices ? |   | Check that the expiry/inspection dates of the equipment/consumables have not been exceeded.  |  |
| 10.1.8.g. | - breathing protection  |   | Check that the expiry/inspection dates of the equipment/consumables have not been exceeded.  |  |
| 10.1.8.h. | - fall arrest devices  |   | Refer to the "Best practice guidelines for safe working at height in the logistics supply chain".<https://cefic.org/library-item/best-practice-guidelines-for-safe-working-at-height-in-the-logistics-supply-chain>  |  |
| 10.1.8.i. | - facilities and equipment that handle plastic pellets or prevent spills?  |  |  | M |
| 10.1.9. | Are waiting areas at cross docks clearly indicated and are drivers visible by wearing high visibility / retroreflective clothing? |   |   |  |
| 10.2. | Environment  |   |   |  |
| 10.2.1. | In case that plastics pellets are handled:  |  | This subsection contains general requirements to avoid plastics pellets loss. Sections 12.3.3. about loading/unloading and 12.4.4. about bagging/debagging/packing contain additional requirements  |  |
| 10.2.1.1. | does the company have appropriate facilities and equipment to comply with the risk minimization plan? |  | The equipment shall be aligned with the requirement of question 2.1.3 of the SQAS 2022 Core questionnaire.It is a good practice to divert rainwater from roofs (not silo roofs) on separate sewer lines. Silo roofs can be overfilled by mistake. This will reduce the amount of water to be filtered. This is a recommendation; it is not a requirement to be scored. | M |
| 10.2.1.2. | are there instructions in place to effectively prevent and manage any potential spill of pellets to ensure that the potential loss of primary containment is minimized? |  | The instructions should be for employees, drivers and subcontractors working on site.  | M |
| 10.2.1.3. | are there housekeeping tours in place including routine inspections of the facility grounds and the site vicinity with a defined frequency?  |  | The assessor will inspect the site and site vicinity identified by the company where loss can happen. Refer to question SQAS 2022 Core 2.1.2.  | M |
| 10.2.1.4. | Are the inspection pits and sewer collectors with pellet separating filters/ sieves included in the routine inspections?  |  | The assessor will check the inspection pits if this can be done safely. This is a typical check by environmental authorities.  | M |
| 10.2.1.5. | Are the housekeeping tours documented?  |  | The reports will identify the areas not complying with the standard.  | M |
| 10.2.1.6. | When spills are found and recorded by the company inspector:  |  | The assessor will check the records. |  |
| 10.2.1.6.a. | are immediate actions taken to clean them up? |  |  | M |
| 10.2.1.6.b. | are checks made after the routine inspections to verify the effectiveness of cleaning up? |  |  | M |
| 10.2.1.7. | Is there cleaning up equipment available such as:- Brooms, dustpans, rakes, etc.,- Heavy-duty shop vacuums for inside use,- Portable shop vacuums for outside use,- Catch trays or traps,- Wide-mouth sample collection jars or poly-bags,- Tape for repairing bag or box damage,- Scrap pellet containers,- Forklift clean-up kit. |  | The assessor will check that the equipment complies with the requirements of question 2.1.3. of the SQAS 2022 Core questionnaire. | M |
| 10.2.1.8. | do the employees have ready access to clean-up equipment? |  |   | M |
| 10.2.1.9. | Are silos and tanks (bodies and pipes) cleaned with filtering tools to retain dust?  |  | If not, these will go to the sewer collector and will certainly pass the pellets sieve. Examples of filtering tools are filtering socks.  | M |
| 10.2.1.10. | Is waste collection separated and contained in appropriate containers before departure?  |  | Floor sweep and off spec product should be segregated. Waste should be separated according to legal requirements and:- wood/ metal/cardboard/paper - PE, PP, PET- PVC- Mix of plastic waste | M |
| 10.2.1.11. | Are empty pallets free from pellets before departure?  |  |  | M |
| 10.2.1.12. | Are there screeners in sewer drains to catch pellets to avoid they enter the water course?  |  |   | M |
| 10.2.1.13. | Is there a water filtering system to avoid that pellets reach the water course? |  | This is a second containment to capture pellets.  | M |
| 10.2.1.14. | Are the screeners in sewer drains cleaned up with a defined frequency? |  | This is to assure that no pellets are dragged by the rain. Records of the cleaning up should be available. | M |
| 10.2.1.15. | Does the water filtering system indicated in 10.2.1.13. avoid that pellets reach the water course in case of exceptional heavy rain? |  | “Exceptional heavy rain” is a rain expected every ten years. | M |
| **10.3.**  | **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)An energy inventory and audit is mandatory for all companies with more than 250 employees following the European Energy Efficiency Directive and the EN 16247. This includes an energy reduction program. If the company falls into this category, the assessor will ask for the latest energy audit report. |  |
| **10.3.1.** | **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 solid or liquid fuels purchased to produce energy, heat, or steam for use in stationary or mobile equipment (e.g. forklifts, cranes) and/or buildings associated. |  |
| 10.3.1.1. | Does the company know the fuel consumed on an annual basis? |  | Typically, diesel/petrol/gas are consumed to run forklifts and cranes. |  |
| 10.3.1.2. | 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*](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.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.**For this question TTW should be used** |  |
| **10.3.2.** | **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. |  |
| 10.3.2.1. | Did the company measure the electricity purchased for use in the warehouse, electric vehicles, or other owned asset (including offices on site) requiring electricity? |  | Typically, electricity is used for electric forklifts, temperature-controlled chambers (refrigerated and heated), lighting, conveyors, wrapping machines and packing/repacking devices.Electricity used for heating or cooling 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.In case solar panels or any other electricity source (e.g. wind generators) are connected to the electric grid, the electricity bill or electricity measurement equipment can also be used to determine the electricity consumed. It is recommended to record the amount of electricity generated by these devices.  |  |
| 10.3.2.2. | Did the company calculate the **emissions from the purchased electricity WTT** required in 10.3.2.1. 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. |  |
| **10.3.3.** | **Disaggregation of energy consumptions** |  |  |  |
| 10.3.3.1. | Does the company disaggregate the emissions of Scope 1 and 2 considering the source? |  | Disaggregation of energy consumption helps to identify sources for potential energy reduction. The following list can be used:- Mobile equipment: Forklifts are typically used. They can run with fuel or batteries- Lighting- Refrigeration or heating system of stored product - IT systems, offices, workshops, generators: If IT system is subcontracted, this item is not applicable- Other sources such as weighing station, wrapping machines, garbage compactor, etc.Most of the equipment mentioned consume electricity. Direct measure of the energy consumption from equipment belonging to the same group is needed (i.e. the system should be able to differentiate lighting from heating consumption, for example). Nevertheless, if measurement of group equipment is not available, an estimation based on the individual equipment consumption will be accepted by the assessor. |  |
| **10.3.4.** | **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- Emissions from subcontractors: the main warehouse can subcontract other services. As examples: * + Storage in other warehouse(s)
	+ Road transport
	+ Heating/Cooling of loaded transport equipment
	+ Etc.
 |  |
| 10.3.4.1. | 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) |  |
| 10.3.4.2. | In case the company subcontracts other services: are WTW emissions in kg CO2e from energy consumed calculated? |  | To calculate the energy consumption the following references will be used:- Storage in other warehouse(s): the subcontracted warehouse(s) should calculate the emissions using the methodology explained in this questionnaire- Road transport: the subcontracted company(ies) should calculate the emissions using the methodology explained in the SQAS 2022 TS questionnaire, section 9. - Heating/Cooling of loaded transport equipment: the subcontracted company (ies) should calculate the emissions using the methodology explained in the SQAS 2022 TC questionnaire, Section 9. |  |
| **10.3.5.** | **Calculation of Total emissions (Scope 1, 2 and 3)** |  | Measurement of total emissions is necessary because it has direct impact in global warming. |  |
| 10.3.5.1. | 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: 10.3.1.2. + 10.3.2.2. + 10.3.4.1. + 10.3.4.2. |  |
| **10.3.6.** | **Calculation of emission intensity** |  |  |  |
| 10.3.6.1. | Did the company calculate the emission intensity during the last year? |  | Emission intensity (Kg CO2e/outbound tonnes or units) = Total emissions from question 10.3.5.1./number of outbound units (tonnes or units).The company will choose the denominator of the calculation (tonnes or units). It could be tonnes of transshipped product or units (e.g. number of pallets). |  |
| **10.3.7.** | **Consolidating and reporting emissions** |  |  |  |
|  | Does the company consolidate in a report the total annual emissions in the following form?- Scope 1 (question 10.3.1.2.)- Scope 2 (question 10.3.2.2.)- Scope 3 (question 10.3.4.1. and 10.3.4.2.)- Total emissions (question 10.3.5.1.)- Emission intensity (question 10.3.6.1.) |  |  |  |
| **10.3.8.** | **Reducing emissions**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** |  |   |  |
| 10.3.8.1. | Has the company defined a **strategy** to reduce its GHG emissions, based on the measurements made in 10.3.6.1.? |  |  |  |
| 10.3.8.2. | Has the company defined the **objectives** to reduce its **emission intensity**, based on the measurements made in 10.3.6.1. in a multiannual programme? |  | The assessor will check if the reduction is in line with the objective indicated in guideline of question 9. of SQAS 2022 TS questionnaire, Sustainable and Smart Mobility Strategy. |  |
| 10.3.8.3. | Do the **objectives** include a reduction of the **total emissions as** calculated in 10.3.5.1., in the multiannual programme? |  | The assessor will check if the reduction is in line with the objective indicated in question 9 of SQAS 2022 TS questionnaire, Sustainable and Smart Mobility Strategy. |  |
| 10.3.8.4. | Does the assessed company have a multiannual **programme** to reach the objectives mentioned in 10.3.8.2. or 10.3.8.3.? |  | 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.  |  |
| **11.** | **Order Process and Operations** |  | **Order Process and Operations** |  |
| 11.1. | Planning and Communication |   | Planning and Communication |  |
| 11.1.1. | Does the planning section communicate all relevant information and instructions to the warehouse operators, including but not limited to: |   | It has to be clear (procedure and/or other documentation or screen) that relevant information on each order is communicated. Check several examples.  |  |
| 11.1.1.a. | - any additional PPE to be used? |   | No guidelines. |  |
| 11.1.1.b. | - any additional storage instructions (incl. stacking height)? |   | No guidelines. |  |
| 11.1.1.c. | - designated storage place? |   | Designated storage places can be detailed per order or chosen by the operator (if allowed in procedure). In both cases the storage place has to be detailed in the warehouse follow-up system. |  |
| 11.1.1.d. | - customer requirements related to the warehouse orders? |   | No guidelines. |  |
| 11.1.2. | Is the SULID document used to collect information on site safety and health conditions and communicated to the hauliers unloading in the site? |   | Check the "Best Practice Guidelines for Safe (un) loading of Road Freight Vehicles, Section 8.". The SULID documents can be found in: <https://cefic.org/guidance/transport-and-logistics/sulid-site-unloading-document/>  |  |
| **11.2.** | **Operations** |  | **Operations** |  |
| 11.2.1. | **Operator instructions** |   | **Operator instructions**It is understood that many operational activities are carried out with an interface to others, e.g. collecting or delivering drivers. The instructions to operators should be in line with the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles". |  |
| 11.2.1.1. | Are there comprehensive procedures/ instructions to the operators on safe loading/unloading practices? |   | Comprehensive procedures/instructions to the operators should be present for all loading/unloading activities. The link to the risk analysis should be obvious. Operators should be interviewed about these procedures and observed during their work. Also temporary operators should be included. |  |
| 11.2.1.2. | Is a procedure in place to ensure that the maximum gross vehicle weight is not exceeded throughout the planned journey? |   | It is the prime responsibility of the transport company/driver to ensure that maximum gross vehicle/axle weights are not exceeded, taking into account also intermodal legs of the journey. However, it is possible that suppliers have instructed the warehouse to carry out controls on max. vehicle weights. Verify if such instructions have been given and, if so, that adequate control measures are in place.  |  |
| 11.2.1.3. | Are procedures in place for checking cargo securing? |   | The instructions have to cover the preferred method for securing palleted items, octabins or bags, and has to also specify the use of dunnage.  |  |
| 11.2.1.4. | Are container or truck unloading conditions clearly defined, regarding: |   | Check content of written procedure. Give a score for each item (a - c) mentioned when it is clearly specified in the procedure/risk assessment and implemented in practice.  |  |
| 11.2.1.4.a. | - weather conditions? |   | No guidelines. |  |
| 11.2.1.4.b. | - unloading requirements (temperature, pressure, time)? |   | No guidelines. |  |
| 11.2.1.4.c. | - fumigated or gassed compartments? |   | It must be clear that any suspect container must be checked on toxic fumes before opening. Refer to ADR/ RID/ IMDG-Code chapter 5.5. Special provisions applicable to fumigated cargo transport units (UN 3359). For containers containing dangerous goods where the special provision CV 36 is given, refer to ADR chapter 7.5. |  |
| 11.2.1.5. | Does the warehouse use a pre-loading checklist for trucks/containers? |   | Specifically with regard to ADR classified goods, it is essential to ensure that critical pre-and after loading checks are carried out to ensure that minimal ADR requirements are fulfilled. Verify if such pre/after loading checks are carried out. |  |
| 11.2.1.6. | Does the pre-loading checklist include the following verifications: |   | There should be a written pre-loading checklist procedure. Give a score for each item (a - i) mentioned when it is clearly specified in the procedure and implemented in practice.  |  |
| 11.2.1.6.a. | - the tractor/trailer/containers are licensed to carry the product(s) to be loaded? |   | Via entry document. |  |
| 11.2.1.6.b. | - the driver is licensed to drive the vehicle with the product(s)? |   | ADR licences should be checked.  |  |
| 11.2.1.6.c. | - the vehicle shows any apparent visual defect? |   | No guidelines. |  |
| 11.2.1.6.d. | - inspection of cargo compartment for cleanliness and potential risks (e.g. nails)? |   | No guidelines. |  |
| 11.2.1.6.e. | - the driver has been informed of relevant site regulations, safety instructions and emergency procedures affecting him during his stay at the warehouse site? |   | Drivers should be informed according to the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles" and only be allowed in dedicated waiting areas. One way to inform them is by informing the transport company management using the SULID methodology. |  |
| 11.2.1.6.f. | - visual inspection of tanks, valves and hoses for cleanliness? |   | No guidelines. |  |
| 11.2.1.6.g. | - correct hose connection and valve operation? |   | No guidelines. |  |
| 11.2.1.6.h. | - safe operation of any transfer equipment? |   | No guidelines. |  |
| 11.2.1.6.i. | - sampling responsibilities and safe sampling practices? |   | No guidelines. |  |
| 11.2.1.7. | Are all trucks/containers checked after loading for: |   | Give a score for each item (a - d) mentioned when it is clearly specified in the procedure and implemented in practice.  |  |
| 11.2.1.7.a. | - correct sealing, marking and labelling, if so required? |   | No guidelines. |  |
| 11.2.1.7.b. | - correct stowage and securing of cargo? |   |  |  |
| 11.2.1.7.c. | - closed doors and twist locks of containers? |   | No guidelines. |  |
| 11.2.1.7.d. | - product compatibility and segregation? |   | No guidelines. |  |
| 11.2.1.8. | Are all operational personnel involved in stowage and cargo securing, trained in appropriate technologies for securing of packaged goods? |   | Check training records and performance of operators. Check also the non-conformance reports in relation to cargo securing. |  |
| 11.2.1.9. | Does the warehouse procedure contain detailed instructions regarding the following aspects and are they implemented? |   | Give a score for each item (a - i) mentioned when it is clearly specified in the procedure, in accordance with the risk assessment and implemented in practice.  |  |
| 11.2.1.9.a. | - inventory control on regular basis? |   | "Inventory control" means doing a cycle count to check physical stock versus logical/theoretical stock.  |  |
| 11.2.1.9.b. | - product shelf-life conditions and stock rotation? |   | This procedure should be in accordance with customer requirements and/or product properties such as plastic decomposition, polymerisation, corrosion of drums, etc. |  |
| 11.2.1.9.c. | - product & transportation regulatory labelling requirements? |   | Procedures should be in accordance with Dir 1272/2008 and any relevant transport mode requirements (ADR, IMDG, etc.). The assessor will randomly check if the product stored is correctly labelled. |  |
| 11.2.1.9.d. | - notifying customs and other law enforcement agencies in case anomalies or illegal activities are detected and/or suspected? |   | No guidelines. |  |
| 11.2.1.9.e. | - notifying affected customers of any irregularities which might occur? |   | No guidelines. |  |
| 11.2.1.9.f. | - use of mobile phone inside the warehouse? |   | No guidelines. |  |
| 11.2.1.9.g. | - before loading, verification that the vehicle is furnished with the required equipment (ADR goods)? |   | Refer to chapter 8.1 of ADR.  |  |
| 11.2.1.9.h. | - prevention of uncontrolled vehicle movement or drive away (e.g., wheel chocks)? |   | No guidelines. |  |
| 11.2.1.9.i. | - use of a support system to replace the tractor during loading and unloading (e.g., "elephant leg")? |   | Only applicable in case of decoupling on site and picking up pre-loaded trailers. |  |
| **11.3.** | **Administration** |  | **Administration** |  |
| 11.3.1. | **Record control** |   |   |  |
| 11.3.1.1. | Are record keeping requirements defined and is compliance checked regularly?  |   | Legal and customer requirements should be met and full traceability should be guaranteed. Company should define the record retention time. The assessor should carry out a traceability exercise, or should ask for evidence that these are carried out, e.g. via internal audits. |  |
| **12.** | **Specific types of Warehousing Activities** |   | **Specific types of Warehousing Activities** |  |
| 12.1. | **Shuttle Service** |   | Shuttle Service |  |
|   | The following questions should be asked additionally if a Shuttle Service is operated, otherwise the sections are marked N/A. |   | A Shuttle Service Operator provides transport and warehousing for an owner of raw materials, intermediates, bulk and packaged goods (usually the manufacturer) who does not store them within the curtilage of the manufacturing site. |  |
| 12.1.1. | Do the procedures clearly identify the ownership and liabilities regarding the passage of risk from owner to operator and back again if required? |   | The division of responsibilities for providing adequate insurance cover should be clearly documented between the parties, more particularly in view of product quality and possible claims. |  |
| 12.1.2. | Is the operators transport assessed using SQAS Transport Service or an equivalent assessment system? |   | Third Party assessment of the industry standard is required for it to be viable. |  |
| 12.1.3. | Is the use of materials handling equipment for shuttling (like forklift trucks and reach stackers) banned by the operator on public roads? |   | Check work instructions and interview operators. Port operation may be different from normal traffic rules. Forklifts and stackers are allowed on public roads in some areas of the ports. |  |
| 12.1.4.a. | Are trailers/trucks used for shuttle services approved according to the local legislation for public roads? |   | Also, if shuttle service trailers/trucks are not used on public roads they have to be approved according to the local legislation for public roads. In the case of shunting dangerous goods, all vehicles must be approved according to the ADR regulation. |  |
| 12.1.4.b. | Do drivers used in shuttle service operations comply with legal requirements?  |   | Also, if shuttle service trucks are not used on public roads, drivers must have a valid driving licence for public roads. In case of dangerous goods they must have a valid ADR licence for the relevant class(es). The company must observe expiry dates and check the driving licence on regular intervals. Periodic training according to Article 7 Directive 2003/59/EC must be provided and deadlines for completion of the training must be monitored by the company. |  |
| 12.2. | **Filling and/or Blending Operations of Liquid Products (Drums and/or IBC's)** |   | **Filling and/or Blending Operations of Liquid Products (Drums and/or IBC's)** |  |
|   |   |   | Following questions should be asked additionally if drum/IBC filling and/or blending is also executed at the warehouse, otherwise the sections are marked N/A. These questions are specifically related to the filling/blending area. |  |
| 12.2.1. | **General** |   | **General** |  |
| 12.2.1.1. | Has a risk assessment been carried out for specific risks relating to all products filled or blended and all filling and blending lines, including: |   |  |  |
| 12.2.1.1.a. | exceeding exposure limits to hazardous products? Operations included are: filling/blending, connection/disconnection, sampling, cleaning, etc. |   | Check if exposure limits as required by local legislation are evaluated and if there is proof that these are not exceeded. Plans should be in place to reduce exposure if excessive reading are identified. Technical and organisational measures must be given higher priority than to the use of PPE. |  |
| 12.2.1.1.b. | handling of Carcinogenic, Mutagenic or toxic to Reproduction substances (CMR substances)? |   | Are records kept of operators involved in the handling of CMR substances?Regulation (EU) 109/2012 amending REACH as regards CMR substances.  |  |
| 12.2.1.1.c. | compatibility of pipes, hoses and auxiliary equipment with products? |   | No guidelines. |  |
| 12.2.1.1.d. | unintended mixing of incompatible products |   | No guidelines. |  |
| 12.2.1.2. | Is the floor area clean, dry and free from obstacles? |   | No guidelines. |  |
| 12.2.1.3. | Are emergency exits from the filling/blending area clearly marked, immediately accessible and free from obstacles? |   | No guidelines. |  |
| 12.2.1.4. | When drum/IBC filling is undertaken directly from the tank vehicle, is it via a fixed installation? |   | No guidelines. |  |
| 12.2.1.5. | Has the filling process and storage areas been ATEX assessed, have the resultant zones been clearly identified on site, and has a site plan been developed and communicated to all relevant personnel? |   | Refer to Directives 98/24/EU, 2014/34 and 99/92/EC. |  |
| 12.2.1.6. | For equipment that is not dedicated to one substance, is a procedure in place for decontamination and cleaning, after filling operations, to avoid substance cross contamination?  |   | To prevent cross contamination, filling lines, pumps and manifolds have to be cleaned. The written cleaning procedure should be checked against records of the cleaning activity. Sometimes, cleaning is not required because the equipment is dedicated or a compatible product is going to be filled in the next operation, in which case the question should be marked not applicable.  |  |
| 12.2.2. | **Equipment** |   | **Equipment** |  |
| 12.2.2.1. | Are measures taken to mitigate the risks identified in 12.2.1.1.a.? |   | No guidelines. |  |
| 12.2.2.2. | Is the filling equipment in good condition and well maintained? |   | No guidelines. |  |
| 12.2.2.3. | Are dedicated hoses in use? |   | Dedicated hoses for every (type of) product. If yes, check if they are clearly labelled or is a mix-up prevented by other measures.  |  |
| 12.2.2.4. | Are hoses in use tested annually, repaired or replaced as needed, and records kept accordingly? |   | They should show a clear label/mark to provide traceability. |  |
| 12.2.2.5. | Are conveyors equipped with appropriate gangways to allow safe crossing for the operator? |   | No guidelines. |  |
| 12.2.2.6. | When filling is automated, is the filling machine equipped with: |   | Technical description of the equipment, certificates and practice should be checked. |  |
| 12.2.2.6.a. | - a system to close line valves and stop the machine automatically in an emergency? |   | No guidelines. |  |
| 12.2.2.6.b. | - an overflow protection detecting a high liquid level in the drum, independent from the weigh scale? |   | No guidelines. |  |
| 12.2.2.6.c. | - vapour return lines (and/or adequate exhaust lines) to capture vapours from product being drummed and to take these away from the drumming area? |   | No guidelines. |  |
| 12.2.2.6.d. | - sub-surface filling lances to avoid static electricity accumulation and foaming of the liquids? |   | No guidelines. |  |
| 12.2.2.6.e. | - all parts (e.g. piping/hoses/seals) resistant to or compatible with the products to be handled? |   | No guidelines. |  |
| 12.2.2.7. | Does the filling system incorporate an automatic shut-off driven by the measurement of the product dispensed? |   | No guidelines. |  |
| 12.2.2.8. | Is the measuring system calibrated regularly? |   | No guidelines. |  |
| 12.2.2.9. | Are the loading lines and valves identified with clear, easy to read markings indicating contents or line number? |   | Each and every line needs to have positive identification. |  |
| 12.2.2.10. | For flammable products: |   | Adequate earthing is essential for the filling of drums with flammable products (class I & II products). So, if wires and clamps are used to fix to the drums/other packaging they should be in good condition. Verify if there is a warning system (i.e. red light signal) available, preventing the filling operation being started if there is an earthing failure. The earthing mechanism should be checked annually; verify if this is done and documented. The vehicle earthing mechanism may also be interlocked with the discharge pump, so that the pump will not operate unless the vehicle is properly earthed/grounded. |  |
| 12.2.2.10.a. | - are all filling/blending equipment, scales, drum rollers, pumps and tanks earthed? |   | No guidelines. |  |
| 12.2.2.10.b. | - is earthing equipment (mechanism) in good condition? |   | No guidelines. |  |
| 12.2.2.10.c. | - is earthing equipment regularly tested? |   | Validate through test certificates.  |  |
| 12.2.2.10.d. | - does the filling system incorporate an earthing safety interlock system?  |   | No guidelines. |  |
| 12.2.2.10.e. | - is the conductivity to earth measured to confirm resistance is within acceptable limits and recorded at regular intervals? |   | Validate through checking documented proof. The integrity of the earthing/ grounding system and its resistance to earth, which must not exceed 10 ohms, should be checked annually and records kept. |  |
| 12.2.2.11. | Are there facilities for lifting drums/bags to the blending vessels without risk of injury? |   | No guidelines. |  |
| 12.2.2.12. | In case of an emergency, can the drumming/blending operation be shut down immediately by a manual emergency stop? |   | No guidelines. |  |
| 12.2.2.13. | In case of an emergency, can the drumming/blending operation be shut down from a safe location? |   | No guidelines. |  |
| 12.2.2.14. | Is an alarm system available in the area, so that an operator can call for help if needed? |   | No guidelines. |  |
| 12.2.2.15. | Are emergency showers present near to the working area and ready to use? |   | Dir 89/391/EU. |  |
| 12.2.3. | **Environment** |   | **Environment** |  |
| 12.2.3.1. | Is there a liquid-tight floor in the drumming/blending area?  |   | No guidelines. |  |
| 12.2.3.2. | Does the filling area have a system of spill containment? |   | No guidelines. |  |
| 12.2.3.3. | Is any spilled material disposed of safely? |   | No guidelines. |  |
| 12.2.3.4. | Is exposure to product vapours adequately controlled? |   | The drumming area should be well ventilated taking into account products filled and taking into account acceptable working conditions. In specific situations (see also risk analysis) a vapour treatment system can be needed.  |  |
| 12.2.3.5. | Is the vapour vent outlet connected to a vapour treatment unit, if required? (e.g. for acids, alkalis and highly toxics.) |   | No guidelines. |  |
| 12.2.3.6. | Are areas around pumps, valves and fittings free from any evidence of leaks? |   | Accidental leakages can occur but should be remediated as soon as possible and the spillage should be contained and cleaned up immediately. The assessor should look for the presence of repeated leakage, maintenance records, non- conformances regarding leakages, interview operators. |  |
| 12.2.3.7. | Is the exterior of the packaging clean and free of product contamination? |   | No guidelines. |  |
| 12.2.3.8. | Is there a procedure to handle wastes generated from site filling activities and are they properly classified and stored in appropriate packaging that comply with local legislation? |   | Due to cleaning activities products can get mixed up. Classification is important as is the selection of adequate storage drums and labelling. Verify the process implemented. |  |
| 12.2.4. | **Bulk Storage Tanks (Including Waste Storage)** |   | **Bulk Storage Tanks (Including Waste Storage)** |  |
|   |  |   | This includes the storage of liquids what is required for the operation of the site and/or running of the fleet as also intermediate bulk storage of chemicals on behalf of customers. 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.). |  |
| 12.2.4.1. | Are the tanks approved for the goods stored and identified/labelled accordingly? |   | Storage of goods in non-adequate 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%. Good maintenance includes the prevention of leakages, monitoring of these events, ex-proof equipment, etc. |  |
| 12.2.4.2. | For above ground tanks, is the spill containment (e.g. bunding) in good condition and in compliance with local regulations? |   | No guidelines. |  |
| 12.2.4.3. | Are high level alarms on storage tanks installed and periodically inspected/ maintained? |   | No guidelines. |  |
| 12.2.4.4. | Is there no visible evidence of leaks (fittings, pumps, tanks, valves etc.) or spills? |   | No guidelines. |  |
| 12.2.4.5. | Does the company do periodic inspection of underground storage in compliance with local regulations? |   | No guidelines. |  |
| 12.2.5. | **Operations** |   | **Operations** |  |
| 12.2.5.1. | Is a documented procedure for filling and/or blending by designated operators in place that includes the correct specification of packaging to be used and pre-filling inspection, cleanliness and integrity? |   | Verify if UN certified packaging have to be used for substances or mixtures in case of classified products. Normally drums will be purchased either by contracted party or by the warehouse operator (outsourced) and directly delivered to the warehouse. It is the responsibility of the operator to ensure that correct drums are checked prior to use. Assess practices/responsibilities and verify correct implementation. ADR chapter 6. Drums and/or IBC's should be visually inspected for defects prior to filling. |  |
| 12.2.5.2. | Is the drum flushed with inert gas prior to filling, if required? |   | 12.2.5.2./7.: the aim of these questions is to obtain a sound assessment of the operations, which take place in real practice. Specifically, the initial velocity at a filling with hazardous products is essential to avoid potential risk of accumulating static discharges. It is also essential that correct closures are put back to the original packaging to avoid potential leakages. |  |
| 12.2.5.3. | Is initial velocity of liquid entering the drum limited until the inlet nozzle is well covered?  |   | No guidelines. |  |
| 12.2.5.4. | Is the maximum filling ratio/degree defined and controlled? |   | No guidelines. |  |
| 12.2.5.5. | Is a venting or vapour treatment system installed for vapours in the filling area? |   | A vapour treatment system should be available to remove vapours. (Suction, ventilation, carbon filters, absorption system, scrubber). Process should be in place to prevent unintended chemical reaction. |  |
| 12.2.5.6. | Are individual plugs removed from each drum put back into the same drum after filling? |   | No guidelines. |  |
| 12.2.5.7. | Are closures applied in accordance with the UN test certificate/ manufacturers recommendations (torque)? |   | No guidelines. |  |
| 12.2.5.8. | Are product safety labels used and applied according to legislative requirements? |   | Check a sample of drummed products in storage against the documentation (SDS). Refer to CLP legislation: CLP <http://echa.europa.eu/web/guest/regulations/clp/legislation>  |  |
| 12.2.5.9. | Are filled drums stored in a safe and proper way? |   | 12.2.5.9./11.: Check during inspection round at the filling/blending area. |  |
| 12.2.5.10. | Are empty drums stored in a safe and proper way? |   | No guidelines. |  |
| 12.2.5.11. | Are all blending vessels stable and supported? |   | No guidelines. |  |
| 12.2.5.12. | Is there a procedure in place for the legal disposal of packages? |   | Check procedure and implementation of it. |  |
| 12.2.5.13. | Is a safe drum line installation cleaning process in place? |   | No guidelines. |  |
| 12.3. | **Loading and/or unloading of bulk solids** |   | **Loading and/or unloading of bulk solids** |  |
|   |   |   | Following questions should be asked additionally if bulk solid storage in silos and (un)loading handling is also done at the warehouse, otherwise the sections are marked N/A. |  |
| 12.3.1. | **Equipment** |   | **Equipment** |  |
| 12.3.1.1. | Are silos equipped with: |   |  |  |
| 12.3.1.1.a. | - manhole including hatch cover with dripping rim? |   | Manholes should be covered by a hatch which is provided with a rim that prevents moisture to enter the silo. |  |
| 12.3.1.1.b. | - access ladder/railings? |   | No guidelines. |  |
| 12.3.1.1.c. | - "bird" free vents? |   | No guidelines. |  |
| 12.3.1.1.d. | - long radius pipe bends? |   | Long radius bends are bends with a minimum radius of 10-12 times the pipe diameter. |  |
| 12.3.1.1.e. | - pipelines that are adequately supported? |   | No guidelines. |  |
| 12.3.1.1.f. | - bottom valves at minimum 4.10 meter clearance? |   | No guidelines. |  |
| 12.3.1.2. | Is content/level measurement installed on each silo? |   | Check the silos and equipment. |  |
| 12.3.1.3. | Are blowers oil free? |   | Check the silos and equipment. |  |
| 12.3.1.4. | Is there a filter on blower air intake? |   | Check the silos and equipment. |  |
| 12.3.1.5. | Is conveying temperature max. 60 deg. C°? |   | Check if there is a temperature measurement on the transfer line and check in there is a procedure. |  |
| 12.3.1.6. | Are conveying pressure and velocity controlled? |   | Check if there is procedure covering the transfer conditions like pressure and temperature. |  |
| 12.3.1.7. | Are all rotating parts protected? |   | Check that all rotating equipment is covered.  |  |
| 12.3.1.8. | Are product hose requirements defined and are they compliant? |   | Check if there are specific requests from customers and whether these are complied with. |  |
| 12.3.1.9. | Are flexible hoses used for loading/unloading in good condition and clean? |   | Check some unloading hoses. |  |
| 12.3.1.10. | Are all inlet and outlet connections capped, clearly identified and in good condition? |   | Flange is equivalent to cap. Caps are necessary to prevent dust from entering in the hoses, which can have a serious impact on product quality. |  |
| 12.3.1.11. | Is bottom outlet construction such that no remaining product is left in the system? (i.e. "dead end piece") |   | Check the silos and equipment. |  |
| 12.3.1.12. | Is the measuring system (weighbridge) calibrated according to legal requirements? |   | Verify records of tests. |  |
| 12.3.1.13. | Is the electrical equipment in good conditions and well maintained? |   | Whether the electrical equipment is correctly rated will depend on the Area/zone classification as defined by design practices and as required by regulations. |  |
| 12.3.1.14. | Are bonding/earthing wires and clamps in good condition? |   | Adequate earthing is essential for the (un)loading of trucks. So, if wires and clamps are used to fix to the trucks they should be in good condition. Verify if there is a warning system (i.e. red light signal) available, preventing the (un)loading operation being started if there is unearthing failure. The earthing mechanism should be checked annually; verify if this is done and documented. |  |
| 12.3.1.15. | Is earthing equipment regularly tested? |   | Check unloading procedures and evidence that earthing systems are regularly tested. |  |
| 12.3.1.16. | Is there a separate earth connection for each silo to the main earthing grid ? |   | Check the silos and equipment. |  |
| 12.3.1.17. | Has the filling process and storage areas been ATEX assessed, have the resultant zones been clearly identified on site, and has a site plan been developed and communicated to all relevant personnel? |   | Verify documents. |  |
| 12.3.1.18. | Are all conveying equipment components used in zoned areas suitable and explosion proof? |   | Check with requirements on SDS sheets from customers. |  |
| 12.3.1.19. | Is fire-fighting equipment with adequate capacity present near the loading/unloading area? |   | Check with legal permits. The assessed company should also have a system in place for a periodical testing of the required capacity. |  |
| 12.3.1.20. | Are emergency stop buttons present, easily accessible and clearly marked? |   | Check the presence of emergency buttons and signage. The system should stop the process immediately. |  |
| 12.3.1.21. | Is an alarm system available in the area, so that an operator can call for help if needed? |   | Check presence of alarm systems or radio availability. |  |
| 12.3.1.22. | Is the emergency button tested regularly? |   | Check procedure, records and interview operators. |  |
| 12.3.1.23. | Are emergency warnings present and visible? |   | Check during inspection round. |  |
| 12.3.2. | **Operations** |   | **Operations**It is understood that many operational activities are carried out with an interface to others, e.g. collecting or delivering drivers. The instructions to operators must be in line with the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles". |  |
| 12.3.2.1. | Is a documented procedure in place for loading from and/or unloading into silos by designated operators? |   | Verify documentation. Verify if specific supplier's requirements exist and whether they are implemented accordingly. Check if supervision is done in practice. |  |
| 12.3.2.2. | Is it ensured that the driver and/or the operator stay in control during the full loading/discharge operation? |   | Verify with loading procedure. The driver should follow the loading operation from a safe location to avoid collisions with forklifts. |  |
| 12.3.2.3. | Are the reception silo and the vehicle readily visible to the driver/operator? |   | Check process and lay-out. |  |
| 12.3.2.4. | Are procedures in place to ensure that the right product goes into the right silo and that sufficient space is available? |   | Check the equipment. |  |
| 12.3.2.5. | Are filling points capped and locked and is a procedure implemented to issue keys for loading operators or drivers? |   | To prevent contamination it must be checked if a well implemented process is in place to issue keys to unlock the loading pipe of a silo. |  |
| 12.3.2.6. | Is there enough clearance around silos for truck manoeuvring? |   | Vehicles should have completely free access and exit from the gantry. Under no circumstances should a vehicle be required to reverse into a gantry. The unloading area should have easy access, adequate manoeuvring space and a flat surface. During unloading, the bulk trucks need to park in the close vicinity of the silo~~.~~ (about Maximum 6 meters). During the unloading the truck trailer is tilted to assist discharge (up to upright position). The area above the trailer tilt position should therefore be free of overhead structures such as pipe racks or electric wiring.Refer to the "Best practice guidelines for safe tipping of silo trucks/trailers, silo containers and bag-in-box containers": <https://cefic.org/library-item/best-practice-guidelines-safe-tipping-silo-truck-strailers-silo-containers-bag-in-box-containers>  |  |
| 12.3.2.7. | Is the (un)loading area well surfaced? |   | Check the condition of the surface. |  |
| 12.3.2.8. | Is sufficient clearance available for tipping trucks and containers (if applicable)? |   | Check if there are no obstructions above the unloading area. Refer to the "Best practice guidelines for safe tipping of silo trucks/trailers, silo containers and bag-in-box containers". |  |
| 12.3.2.9. | Is there an adequate sewer system in place in the loading/unloading area to allow the collection of rinse water?  |   | Check on-site. |  |
| 12.3.2.10. | Is there a clear escape route from the (un)loading area to the defined assembly point? |   | Check on-site. The final destination of people escaping should be defined in the emergency plan of the site. |  |
| 12.3.2.11. | Is the loading area protected from contamination foreign materials? |   | Check on-site. Contamination could be rainwater, sand, leafs, dust, etc |  |
| 12.3.2.12. | Is equipment available to get safely on top and to work safely at the silo area? |   | Refer to the "Best practice guidelines for safe working at height in the logistics supply chain". |  |
| 12.3.2.13. | Is the equipment mentioned in 12.3.2.12 clean, well maintained, and free from obstruction? |   | Check the condition of the equipment. |  |
| 12.3.2.14. | Is the walkway constructed to prevent slipping? |   | Check on-site.  |  |
| 12.3.2.15. | Are pipelines regularly inspected, maintained and actions recorded? |   | No guidelines. |  |
| 12.3.2.16. | Are gantries and pipelines protected against collisions? |   | This protection can be of different types, such as protection poles, removable gantries, protection devices. |  |
| 12.3.2.17. | Are the silos, the loading lines, and the valves identified with clear, easy to read markings, indicating the contents and/or identification numbers? |   | Silos should be clearly labelled and unloading caps should be locked to avoid mis-unloading. |  |
| 12.3.2.18. | If applicable, are silos and all equipment (hoses, pipes, pumps, etc.) cleaned to avoid cross contamination? |   | To prevent cross contamination, silos, hoses, filling lines, pumps and manifolds have to be cleaned. The written cleaning procedure should be checked against records of the cleaning activity. Sometimes, cleaning is not required because the equipment is dedicated or a compatible product is going to be filled in the next operation, in which case the question should be marked not applicable.  |  |
| 12.3.2.19. | Are connecting flanges equipped with safety devices to avoid opening due to vibrations during product transfer? |   | Check on-site. |  |
| 12.3.2.20. | Are (un)loading procedures available and are they known by operators?  |   | Check on-site and interview operators. Refer to the "Best practice guidelines for safe tipping of silo trucks/trailers, silo containers and bag-in-box containers" and the "Best Practice Guidelines for Safe (un) Loading of Road Freight Vehicles". |  |
| 12.3.2.21. | Are procedures in place to avoid the dangerous formation of dust? |   | Preventative measures should be taken to prevent the accumulation of polymer fines and dust. Good housekeeping is therefore essential. Verify if procedures are in place and followed to avoid potential risks. |  |
| 12.3.2.22. | Are manholes/hatches kept tightly closed when not in use? |   | Check unloading procedure and practice. Only those manholes used for filling should be opened at unloading, the rest of the manholes should be closed. |  |
| 12.3.2.23. | Can vehicle(s) easily leave the unloading area in the event of emergency and is the escape route unobstructed? |   | Check the driving route. Refer to "Best Practice Guidelines for Safe (un) Loading of Road Freight Vehicles". Annex 2. |  |
| 12.3.3. | **Environment** |  | **Environment** |  |
| 12.3.3.1. | Is any spilled material disposed of safely? |  | Check for spill reporting procedure to the customer and disposal contract resulting from that. This is a contract with a third party who is collecting the waste. |  |
| 12.3.3.2. | Is the exterior of the loading/unloading equipment clean? |  |   |  |
| 12.3.3.3. | Where loading/unloading of plastics pellets takes place, is there a procedure that requires:  |  | The assessor should check the requirements in the working instructions/procedures.On top of that, if these operations takes place during the assessment the assessor will check that the requirements of the sub questions are complied with.  |  |
| 12.3.3.3.a. | to place a catch pan or trap under the connection, if the line must be opened due to blockage of product? |  | Connections between hoses and pipes may be required during transfer/unloading/other operations. The purpose of the catch pan or similar, is to retain any pellets released. | M |
| 12.3.3.3.b. | bulk transport units, that need to reposition during the loading process, are prevented from unexpected movement?  |   | Transport units that are loaded by gravity (e.g. under a silo) may need to reposition to the next fill compartment or filling hatch, when being filled. If, due to miscommunication between the driver and the loader, the truck is moved while the product flow is not interrupted, a large (granule) spill on top of the truck and on the floor of the loading place will result. Measures have to be taken that avoid misunderstandings between driver and loader and prevent movement of the transport unit. | M |
| 12.3.3.3.c. | devices installed to avoid overflowing? |  | Chronometer or volumetric dosing valves can be used or any other device to optimize loading and avoid spills. | M |
| 12.3.3.3.d. | devices installed to avoid dust emission and pellets spill from the filling pipe or from the bulk tank/truck during loading operations? |  | Dust emission during loading can be avoided or limited by putting extra connection tools to close the loading system and/or by dust extraction. This question could be not applicable. Refer to the risk assessment question to see if this risk exists. | M |
| 12.3.3.3.e. | dust emission from the silo prevented during bulk unloading into the silo? |  | Dust emission during silo filling/product transfer should be avoided or limited by putting dust filters or extraction on silo vent systems.The dust extraction is mostly needed when handling powder or dusty flakes. For granulates this is not needed. | M |
| 12.3.3.3.f. | before installing liner bags, empty containers are carefully inspected to identify damaged interior walls or defective floors that could tear liner bags? |  | This question is not applicable if this operation is not carried out within the boundary of the facility/warehouse being assessed. | M |
| 12.3.3.3.g. | to remove any spilled pellets from the top of the truck/rail tank car/trailer/container before leaving the containment area?  |  | Residual pellets will fall to the ground as transport units are moved outside the plant.  | M |
| 12.3.3.3.h. | loading/unloading areas to be a smooth hard surface  |  | If there are cracks or grooves in the surface of these areas (loading/unloading), the pellets that could be trapped inside should be easy to remove using normal cleaning operations (vacuum, sweeper, or blower) | M |
| **12.4.** | **Bagging and/or debagging and /or packing Operations of Solid Products (Bags, Big Bags, and/or Octabins)** |  | **Bagging** includes operations where solid products in bulk are packed in bags, big bags or Octabins. **Debagging** implies the opposite operation. |  |
|   |  |  | Following questions should be asked additionally if the packing of solids into bags, big bags, octabins or similar is carried out at the warehouse, otherwise the sections are marked N/A. Check all questions during field inspection and interview of the operators. |  |
| 12.4.1. | **General** |  | **General** |  |
| 12.4.1.1. | Is the packing area protected/covered against adverse weather? |  | The assessor will check with operators if this is the only place where this operation is carried out. |  |
| 12.4.1.2. | Is the floor area clean, dry and free from obstacles? |  |   |  |
| 12.4.1.3. | Are emergency exits from the packing area clearly marked, immediately accessible and free from obstacles? |  |   |  |
| 12.4.1.4. | When bagging or packing is done directly from the bulk vehicle, is it done via a fixed installation? |  | Bagging or packing should never be done directly from the vehicle without use of an intermediate hopper, recipient and/or machine. |  |
| 12.4.1.5. | If the risk of an explosive atmosphere was identified, has the packing area been ATEX assessed, have the resultant zones been clearly identified on site, and has a site plan been developed and communicated to all relevant personnel? |  | A zoning plan has to be present for the entire storage area and identified according to this ATEX assessment.  The assessor should ask for the explosion protection assessment document. An ATEX assessment is applicable when the (product) dust can form an explosive atmosphere; refer to the SDS of the handled products to define if ATEX is applicable.  |  |
| 12.4.2. | **Equipment** |  | **Equipment** |  |
| 12.4.2.1. | Is there a preventive maintenance programme on the packing equipment? |  | Check records of the maintenance programme. Check that the equipment is in good visual condition. |  |
| 12.4.2.2. | Are conveyors equipped, if required, with appropriate gangways to allow safe crossing for the operator? |  | Short conveyors may not require gangways. |  |
| 12.4.2.3. | Is the weighing system calibrated regularly? |  |   |  |
| 12.4.2.4. | For the handling of dry-bulk products: is earthing equipment (mechanism) in good condition, regularly tested and is the conductivity to earth measured to confirm resistance within acceptable limits and recorded at regular intervals? |  | Adequate earthing is essential for handling of granulated or powder products . So, if wires and clamps are used to fix to the packaging and/or packing equipment they should be in good condition. Verify if there is a procedure available describing earthing requirements. The integrity of the earthing/grounding system and its resistance to earth, which must not exceed 10 ohms, should be checked annually and records kept. Verify if this is done and documented.  |  |
| 12.4.2.5. | Are the facilities for lifting packages such as big bags or similar to the packing machinery taken into account in the risk assessment of the packing operation? |  |   |  |
| 12.4.2.6. | In case of an emergency, can the packing operation be shut down immediately by pushing a red (emergency stop) button? |  |   |  |
| 12.4.2.7. | Is an alarm system available in the area, so that an operator can call for help if needed ? |  | A functioning communication system such as walkie-talkies is also acceptable. |  |
| 12.4.3. | **Operations** |  | **Operations** |  |
| 12.4.3.1. | Is a documented procedure for packing in place ? |  |   |  |
| 12.4.3.2. | Is there a procedure in place to check that the correct packaging is selected prior to starting the packing? |  | Check for aspects such as bag sizes, use of slip sheets, etc. |  |
| 12.4.3.3. | Are empty packaging materials stored in a safe way ? |  |   |  |
| 12.4.3.4. | Is there a procedure in place for the legal disposal of classified and unclassified packaging waste? |  | Some packaging is designed for single use and becomes waste after that use. Other packaging is designed to be returnable and reusable, such packaging is not waste unless it is classified as waste by the owner. This also includes, for example, stretch wrap, cling film, plastic or steel banding. |  |
| 12.4.3.5. | For equipment that is not dedicated to one substance, is a procedure in place for decontamination and cleaning, after filling operations, to avoid substance cross contamination?  |   | To prevent cross contamination, filling lines, pumps and manifolds have to be cleaned. The written cleaning procedure should be checked against records of the cleaning activity. Sometimes, cleaning is not required because the equipment is dedicated or a compatible product is going to be filled in the next operation, in which case the question should be marked not applicable.  |  |
| 12.4.3.6. | Are product samples traceable and stored in a safe and proper way? |  | Check procedure and implementation of it. |  |
| 12.4.4. | **Environment** |  | **Environment** |  |
| 12.4.4.1. | Is any spilled material disposed of safely? |  | Check for spill reporting procedure to the customer and disposal contract resulting from that. This is a contract with a third party who is collecting the waste. |  |
| 12.4.4.2. | Is the exterior of the packing equipment clean? |  |   |  |
| 12.4.4.3. | before loading bags of pellets, are empty trailers/containers carefully inspected to identify damaged interior walls or defective floors that could tear bags and damage packaging? |  | The assessor will check that this inspection is part of the procedure and will ask the operators in charge about the decisions taken, in the event that the trailer/container is found to be defective. | M |
| 12.4.4.4. | Where bagging or packing pellets or packing polymers takes place, is there a procedure that requires:  |  | The assessor should check these requirements in the working instructions/procedures.On top of that, if these operations take place during the assessment, the assessor will check that the requirements of the sub questions are complied with.  |  |
| 12.4.4.4.a. | to inspect pallets for protruding nails or broken boards? |  |   | M |
| 12.4.4.4.b. | To deal with leaking bags/Octabins? |  | Leaking bags/Octabins can be:* Taped and reprocessed or
* taped and sent to customers if they agree to receive them.
 | M |
| 12.4.4.4.c. | to regularly clean up pellets that are spilled during the filling process. |  |   | M |
| 12.4.4.5. | Where debagging of plastics pellets takes place, is there a procedure that requires clean-up of equipment and floor? |  | This is especially critical when debagging is made manually. Plastics spills should be managed in a proper way. Empty pallets should be cleaned to avoid environmental impact | M |
| **12.5.** | **Container depot**  |  | **Container depot:** This section is applicable when the container depot is part of a warehouse 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 requirement could be applicable. |  |
|  **12.5.1.** | **General Site Operations** |  | **General Site Operations** |  |
| 12.5.1.1. | Licenses and storage capacity  |  |  |  |
| 12.5.1.1.1. | 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. |  |
| 12.5.1.1.2. | Does the assessed company have a procedure to check that the storage capacity is in line with the license? |  |  |  |
| 12.5.1.2. | Registration of a Product on Site and Entrance Check |  | Registration of a Product on Site and Entrance Check. |  |
| 12.5.1.2.1. | 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. |  |
| 12.5.1.2.2. | 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. |  |
| 12.5.1.2.3. | When any container arrives to the terminal, are there a system to check and register: |  |  |  |
| 12.5.1.2.3.a. | Visual technical check of the ITU conditions on/of:- leakage (leaking unit)- visual deformations of the transport unit container type  |  |  |  |
| 12.5.1.2.3.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 Labeling 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. |  |
| 12.5.1.2.3.c. | Special storage conditions from customers? |  | Pressure and temperature checks can be required by specific customers, e.g., when transporting gases.  |  |
| 12.5.1.3. | Security |  |  |  |
| 12.5.1.3.1. | 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 9. Security in Warehousing. |  |
| 12.5.1.4. |  Housekeeping |  |  |  |
| 12.5.1.4.1. | 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.) |  |
| 12.5.1.5. |  Competencies and Training |  |  |  |
| 12.5.1.5.1. | 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' behavior and there was a consequential action to reinforce the training programme. |  |
| 12.5.1.6. | Human Behavior and Behavioral Based Safety (BBS) |  |  |  |
| 12.5.1.6.1. | Are drivers/operators of cranes, rolling and lifting equipment included in the BBS programme required by section 8 of this questionnaire? |  |  |  |
| **12.5.2.** | **Storing of Containers** |  | **Storing of Containers** |  |
| 12.5.2.1. | Segregation |  |  |  |
| 12.5.2.1.1. | 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. |  |
| 12.5.2.1.2. | Are the segregation rules included in the training programme?  |  |  |  |
| 12.5.2.1.3. | Are the segregation rules visible for external viewers? |  |  |  |
| 12.5.2.2. |  Container Stacking |  |  |  |
| 12.5.2.2.1. | 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".  |  |
| 12.5.2.2.2. | 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.  |  |
| 12.5.2.3. | Flooring |  |  |  |
| 12.5.2.3.1. | 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. |  |
| 12.5.2.3.2. | 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.  |  |
| **12.5.3.** | **Equipment** |  | **Equipment** |  |
| 12.5.3.1. | Equipment Selection and Specification |  |  |  |
| 12.5.3.1.1. | 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. |  |
| 12.5.3.2. | Inspection and Maintenance of Equipment |  |  |  |
| 12.5.3.2.1. | 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. |  |
| 12.5.3.2.2. | Is there a documented programme for preventive maintenance for cranes, rolling and lifting equipment? |  | Look for an 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. |  |
| 12.5.3.2.3. | Is there a daily check list filled in covering the status of the equipment? |  | This is usually fulfilled in by the drivers.  |  |
| **12.5.4.** | **Container Operations** |  | **Container Operations** |  |
| 12.5.4.1. | Internal transport and On-Site traffic |  |  |  |
| 12.5.4.1.1. | 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. |  |
| 12.5.4.1.2. | 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. |  |
|  12.5.4.1.3. | Are there written instructions for:  |  |  |  |
| 12.5.4.1.3.a. | the terminal staff and third-party people defining where third-party people are allowed and where not? |  |  |  |
| 12.5.4.1.3.b. | Zones where PPE must be used  |  | These zones must be clearly marked (signs, marking). |  |
| 12.5.4.2. | Safe handling |  |  |  |
| 12.5.4.2.1. | 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. |  |
| 12.5.4.2.2. | 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, etc. |  |
| 12.5.4.3. | Inspection and Maintenance of Containers |  |  |  |
| 12.5.4.3.1. | 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. |  |
| 12.5.4.3.2. | 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”. |  |
| 12.5.4.4. | Service of heating and/or cooling of containers load |  |  |  |
| 12.5.4.4.1. | 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.  |  |
| 12.5.4.4.1.a. | initial product inquiry? |  | Included assessment of potential hazards. |  |
| 12.5.4.4.1.b. | product acceptance? |  |   |  |
| 12.5.4.4.1.c. | required competence to establish a new heating or cooling instruction? |  |   |  |
| 12.5.4.4.1.d. | controls on temperature devices? |  |  |  |
| 12.5.4.4.1.e. | a check list used to assure that the procedure is followed? |  | This could be on paper or electronic system. |  |
| 12.5.4.4.2. | 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. |  |
| 12.5.4.4.2.a. | mode of heating? |  | The coil can be heated by direct steam or hot water. Electricity can also be used.The mode of heating 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. |  |
| 12.5.4.4.2.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 12.5.4.4.2.a, has to be heated at a maximum temperature of 35 degrees. |  |
| 12.5.4.4.2.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. |  |
| 12.5.4.4.2.d. | regular checking of product temperatures? |  |  |  |
| 12.5.4.4.2.e. | personal protective equipment? |  |  |  |
| 12.5.4.4.2.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. |  |
| 12.5.4.4.3. | 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.). |  |
| 12.5.4.4.4. | Is the temperature monitoring device interlock with the heating source? |  | This device and the interlocking must be tested by the assessed company. |  |
| 12.5.4.4.5. | 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. |  |
| 12.5.4.4.6. | 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. |  |
| 12.5.4.4.7. | Are records kept on each operation, including the temperature progress? |  | Check a sample of documents on tank-heating/ cooling operations. |  |
| 12.5.4.4.8. | Is there a system to prevent the mixture of heating commodities? |  | This requirement is addressing the risk of incorrect heating mentioned in 12.5.4.4.2.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. |  |
| 12.5.4.4.9. | Is the operation done according to the requirements of question 12.5.2.3.1.? |  | 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. |  |
| 12.5.4.4.10. | 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 12.5.4.4.1.e.) |  |
| 12.5.4.4.11. | 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. |  |
| 12.5.4.4.12. | Has the company communicated the outcome of the MOC risk assessment to people involved in the operation, in case that the risk is changing?  |  |  |  |
| 12.5.4.5. |  Sample taking |  |  |  |
| 12.5.4.5.1. | 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.  |  |
| **12.5.5.** | **Emergency response & Spill Preparedness**  |  | **Emergency response & Spill Preparedness** |  |
| 12.5.5.1. | Containment of spills |  |  |  |
| 12.5.5.1.1. | 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. |  |
| 12.5.5.1.2. | 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". |  |
| 12.5.5.1.3. | 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. |  |
| 12.5.5.2. | Natural Disasters/Climatological and Geographical Risk |  |  |  |
| 12.5.5.2.1. | 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 12.5.2.2. 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. |  |
| **12.5.6.** | **Equipment release Controls** |  |  |  |
| 12.5.6.1. | 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. |  |
| 12.5.6.2. | As part of 12.5.6.1., 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. |  |
| 12.5.6.3. | With the "In bound" inspections, 12.5.1.2.3.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. |  |
| 12.5.6.4. | 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.  |  |
| 12.5.6.5. |  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. |  |
| 12.5.6.5.1. | 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. |  |
| 12.5.6.5.2. | 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.  |  |
| 12.5.6.5.3. | Does the facility have a process to check the driving license of the collecting driver in relation to ADR? |  | See section 12.5.6. 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. |  |
| 12.5.6.5.4. | Does the facility have a process to check that the transport equipment is in compliance with ADR? |  |  |  |
| 12.5.6.6. | Release checks and procedures. |  |   |  |
| 12.5.6.6.1. | 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. |  |
| 12.5.6.6.2. | 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 sealing on the container.Use of CCTV or similar is an acceptable method of examination. |  |
| 12.5.6.6.3. | 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. |  |
| 12.5.6.6.4. | 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". |  |
| **12.5.6.7.** | Cargo Documentation. |  |   |  |
| 12.5.6.7.1. | 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.  |  |
| **12.5.7.** | **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) |  |
| **12.5.7.1.** | 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. |  |
| 12.5.7.1.1. | Does the company know the fuel consumed on an annual basis? |  | Refer to the guideline mentioned in 12.5.7. |  |
| 12.5.7.1.2. | 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** |  |
| **12.5.7.2.** | 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. |  |
| 12.5.7.2.1. | Did the company measure the electricity purchased for use in the electric vehicles, or other owned asset (including offices on site) requiring electricity? |  | Typically, electricity is used for moving cranes, and lighting. |  |
| 12.5.7.2.2. | Did the company calculate the **emissions from the purchased electricity WTT** required in 12.5.7.2.1. 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. |  |
| **12.5.7.3.** | 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  |  |
| 12.5.7.3.1. | 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) |  |
| 12.5.7.3.2.  | Has the company calculated the absolute WTT emissions of subcontractors over the last year using the formulakg CO2e = Σ (fuel in litres × fuel emission factor WTT (kg CO2e/litre of fuel))? |  | The assessed company should be aware of the fuel consumed by subcontractors working on site. |  |
| **12.5.7.4.** | Calculation of Total emissions (Scope 1, 2 and 3) |  | Measurement of total emissions is necessary because it has direct impact in global warming. |  |
| 12.5.7.4.1.  | 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: 12.5.7.1.2. + 12.5.7.2.2. + 12.5.7.3.1. |  |
| **12.5.7.5.** | Consolidating and reporting emissions |  |  |  |
|  | Does the company consolidate in a report the total annual emissions in the following form?- Scope 1 (question 12.5.7.1.2.)- Scope 2 (question 12.5.7.2.2.)- Scope 3 (question 12.5.7.3.1.)- Total emissions (question 12.5.7.4.1.) |  |  |  |
| **12.5.7.6.** | **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. |  |
| 12.5.7.6.1. | 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.** |  |   |  |
| 12.5.7.6.1.1. | Has the company defined a **strategy** to reduce its GHG emissions, based on the measurements made in 12.5.7.4.1. (total emissions)? |  |  |  |
| 12.5.7.6.1.2. | Has the company defined the **objectives** to reduce **total** **emissions**, based on the measurements made in 12.5.7.4.1. 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 |  |
| 12.5.7.6.1.3. | Does the assessed company have a multiannual **programme** to reach the objectives mentioned in 12.5.7.6.1.2.? |  | 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 following up at least on a yearly basis.  |  |
| **13**. | **Subcontracted Services** |   |  |  |
| **13.1.** | **Service partners** |  | **Service partners** |  |
|   |  |  | In some cases, the assessed company may find it necessary to outsource any or all of the services covered by the contract that the assessed company has with its customer(s). Reasons may be economical, geographical or because of the assessed company’s limitations regarding licenses or equipment. The following types of service partners shall be considered in this section:Storage service providers, drumming/filling service providers, (re)packing, transport service providers. This list is not comprehensive, other services can be outsourced. |  |
| 13.1.1. | Is there a documented process defining and choosing the logistics solution and selecting the service partners for each business assigned to the company including a risk assessment covering SHEQ, Sec, CSR and OCS (if pellets are handled) elements? |  | Look for a documented process including a risk assessment covering SHEQ&Sec&CSR and OCS elements, for defining and choosing the logistics solution for the assigned orders. Verify a sample of current or completed assignments, the process for selecting the parties and persons involved, communication lines and interfaces, schedules and routes, alternative solutions with considerations on SHEQ&Sec&CSR and OCS requirements.  | M |
| 13.1.2. | 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 the follow-up of improvement actions through minutes of meetings and other communications.  |  |
| 13.1.3. | Are annual SHEQ&Sec&CSR targets set for, and communicated to all involved service providers? |  | Verify through a sample of transactions that SHEQ&Sec&CSR objectives have been set and formally communicated to all partners. Look for evidence from meetings and communications that all providers have been involved. |  |
| 13.1.4. | Does the company actively monitor the service providers actions to ensure achievement of all these targets? |  | Look for documentary evidence about annual reviews of set targets with all partners and status of defined action plans towards achievement of the agreed objectives. |  |
| 13.1.5. | Is there a documented plan for assessing service providers in all applicable areas referred to in SQAS and their compliance with legal requirements? |  | Such assessment(s) should be thorough and comprehensive. The company can carry out assessments on site of the service provider but this is not a requirement. The assessor should look for a written assessment plan indicating a detailed system. A document detailing what will be assessed, the frequency and who will do it must be available. Look specifically if the areas (chapters) as referred to in SQAS are sufficiently covered. For some outsourced services the subcontractors' SQAS report can be used as a basic document for this evaluation, if available.  |  |
| **13.2.** | **Contractors** |  | **Contractors** |  |
| 13.2.1. | Are contractors, working on site other than logistics service contractors, provided with relevant health, safety, security, environmental (including OCS requirements, if applicable) and CSR information to ensure that on site services are performed accordingly? |  | The assessed company shall take appropriate measures so that employers of workers from any contractor engaged in work in the company receive, in accordance with national laws and/or practices, adequate information concerning the risks and prevention measures as required by the company or to specific tasks.The contractor employer has to inform his employees. EU Directive: 89/391/EEG Art. 10 § 2The assessor will check during the inspection round the presence of contractors and their compliance with the requirements of this question. | M |
| **14.** | **Handling practices of Food, Food contact and Feed Products ingredients** |   | **Handling practices of Food, Food contact and Feed Products ingredients** |  |
| 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 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 Premixtures 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 handles Feed products only. Comment: The company has implemented the HACCP principles according to RegulationEU183/2005 or Regulation (EC) No 852/2004. |  |
| 14.1.2. | Is there an adequate contamination and degradation prevention 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 question SQAS Core 2.1.1.b. |  |
| 14.1.4. | Are critical control points (CCPs) identified? |   |   |  |
| 14.1.5. | Has a HACCP plan been documented? |   | The HACCP Plan shall be documented and shall include the following information for each critical control point (CCP):a) food safety hazard(s) to be controlled at CCPb) control measuresc) critical limitsd) monitoring procedurese) corrections and corrective action(s) to be taken if critical limits are exceededf) responsibilities and authoritiesg) record(s) of monitoring. |  |
| 14.1.6. | Is there a monitoring system for each CCP identified? |   | The monitoring system shall consist of relevant procedures, instructions and records that cover the following:a) measurements or observations that provide results within an adequate time frame;b) monitoring devices used;c) applicable calibration methods;d) monitoring frequency;e) responsibility and authority related to monitoring and evaluation of monitoring results;f) record requirements and methods.The monitoring methods and frequency shall be capable of determining when the critical limits have been exceeded in time for the product to be isolated before it is used or consumed.  |  |
| **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.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. |  |
| 14.2.2. | 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 from receipt to product dispatch ? |  | 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 bellow. 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.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. |  |
| 14.4. | Are there procedures in place and documentation available to ensure consistency of product quality? |   | Are there 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 sector. 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 written procedures for sampling in place and maintained? |   | Are there written procedures for sampling in place and maintained? |  |
| 14.5.1. | Are utensils and sampling devices cleaned and stored in a manner to prevent contamination?  |   | If sampling is required by the customer, procedures should be in place to be compliant to the customers' requirements. The sampling devices that are used should be cleaned and stored in such a way that contamination by using these devices is not possible. This cleaning and storage depends on the quality grade needed, the type of equipment, and the potential contamination. Contamination can occur between products (cross contamination) or from the surroundings (dust, water, vermin, .. ). Cleaning methods are to be appropriate to the sampling material and the products to be sampled. The storage situation has to guarantee the state of cleanliness. |  |
| 14.6. | 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? |  |
| 14.6.1. | Is the water and the disinfection products that come 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. |  |
| 14.6.2. | 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 pressurised 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 authorised for food grade applications. When pressurised 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.  |  |
| 14.6.3. | Are there effective procedures in place such as buffering or cleaning of equipment to monitor or avoid cross contamination when switching/changing between different grades/products? |   | Cross contamination between different products or between products of different composition has to be avoided. Buffering refers to the “hold up” capacity that the company should have to store materials while checks are carried out to confirm that cross contamination has not happened. |  |
| 14.6.4. | Is there a physical separation or a control system to segregate products that have been released for use or distribution from products pending release, non-conforming products or product returns?  |   | Cross contamination between those products within specification and those out of specification has to be avoided. Physical separation, or an effective control system, has to be in place to avoid product out of specification being released as product within specification. |  |
| 14.6.5. | Is a suitable pest control program implemented and maintained?  |   | A pest control program should be based upon a risk analysis. Records of product used, number and place of pest control application, records of "maintenance", inspection of efficiency, etc. |  |
| 14.7. | Are procedures in place for complaint handling, product recall and incident management? |   | Are procedures in place for complaint handling, product recall and incident management? |  |
| 14.7.1. | Is there a contamination response procedure in place? |   | Is a procedure present and is it known how a contamination should be handled? This procedure has to specify what to do with both small and major contamination including communication requirements. |  |
| 14.7.2. | Are there measures in place to ensure that non-conforming or recalled products are not released without proper authorisation? |   | Procedures present and known. Also the non-conforming or recalled products have to be clearly identified. |  |
| 14.7.3. | Is there a product recall procedure? |   | 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.  |  |
| 14.7.4. | Is the product recall procedure tested? |   | A mock recall procedure must be in place and tested periodically. |  |
| 14.8. | Are procedures in place for internal audits? |   | Are procedures in place for internal audits? |  |
| 14.8.1. | Is there a documented plan for internal auditing of all areas referred to the GMP/GMP+ and HACCP questionnaire? |   | On-top of the regular internal audits all areas of this Food contact questionnaire are to be audited within a regular timeframe. |  |
| 14.9. | Storage in silos |   | Storage in silos |  |
| 14.9.1. | Are all pieces of equipment coming in contact with the product compatible with the product and in compliance with requirements? |   | Verify proper documentation about the compatibility of equipment materials with the product, e.g. inspection and approval of storage tank, silo and piping system by the manufacturer of the product or his authorised third party. Verify that materials of construction for the storage equipment comply with all legal requirements for the kind of product and type of equipment. Check related documentation. |  |
| 14.9.2. | Is the storage tank equipped with a monitored nitrogen blanketing system or a drying equipment, if necessary, to protect the product against oxidation and/or moisture? |   | Food, Food Contact and feed products may be hygroscopic and sensitive to oxidation. Atmospheric vents should be equipped with drying devices to protect the product against humidity. Nitrogen blanketing is the preferred means of keeping the product dry, preventing oxidation and ensuring the shelf-life. The quality of the blanketing gas should be controlled and should comply with legal requirements (food and drug law, GMPs etc.), especially regarding the absence of dust. |  |
| 14.9.3. | Is the quality of the blanketing gas, if used, compatible with the Product? |   | Verify documentation to give evidence for compatibility of the blanketing gas. |  |
| 14.9.4. | Is it ensured that the storage temperature is always kept within a defined range and controlled, if necessary, for product quality or stability? |   | The storage temperature should always comply with the individual requirements of the particular Food Contact product. The recommendations of the manufacturers should be considered. |  |
| 14.9.5. | Do you ensure that your sampling installation is able to provide a representative sample? |   | Verify that sampling points and devices are installed at places in bulk storage systems to provide representative samples. This is of special importance when batches are mixed. In these cases, ring systems (circulation line) are recommended. Otherwise sampling has to be conducted at the filling station after line clearance. |  |
| 14.10. | Loading and unloading of unpacked products |   | Loading and unloading of unpacked products |  |
| 14.10.1. | **Are appropriate loading and unloading procedures in place ?** |   | **Are appropriate loading and unloading procedures in place ?** |  |
| 14.10.1.1. | Is there a procedure in place that requires the driver/operator to only open 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. |  |
| 14.10.1.2. | Is the loading/unloading 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 utilisation 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.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 pressurising the transport equipment with clean nitrogen or dry, filtered air. |  |
| 14.10.1.3. | Is all the equipment in contact with products identified? |   | Check for proper and resistant labelling of pipes, unloading valves, hoses etc. |  |
| 14.10.1.4. | 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. |  |
| 14.10.1.5. | Do you 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. |  |
| 14.10.1.6. | Do you check the integrity of the seals before unloading? |   | If seals are present on a recipient to be unloaded these have to be checked for their integrity. The results have to be mentioned on the accompanying documents. |  |
| 14.10.1.7. | Do you seal all valves and openings after cleaning? |   | No guidelines. |  |
| 14.10.1.8. | Do you check the integrity of the cleaning seals before loading? |   | No guidelines. |  |
| 14.11. | Packaging  |   | Packaging  |  |
| 14.11.1. | **Is the environment and the packaging equipment in contact with products designed to protect product quality?** |   | **Is the environment and the packaging equipment in contact with products designed to protect product quality?** |  |
| 14.11.1.1. | Is the packaging equipment in contact with products dedicated, or are validated cleaning procedures applied in case of product changes and is the equipment in contact with products clearly identified? |   | It is recommended that every piece of equipment in contact with the product, including piping systems, hoses, pumps, filters, valves, and flow measuring elements, are dedicated for only one particular Food, Food Contact and Feed product and clearly labelled. Alternatively, the last utilisation of the relevant 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 be used whenever a change in product service is necessary. The equipment should be made of material that is easy to clean. All accessories such as gaskets or pump seals should be made of food/cosmetic/pharmaceutical compatible material (asbestos is forbidden).Check for proper and resistant labelling of pipes, hoses, repackaging equipment, etc. for product name and direction of flow. |  |
| 14.11.1.2. | Is the environment of the packaging operation clean and dust free? |   | The packaging operation should be conducted in a clean environment, preferably in a room pressurised with air of appropriate quality to ensure product integrity during the filling operation. Adequate control of dust, dirt, insects, chemical vapours, etc. should be maintained to prevent any contamination of the product. The opening of empty and filled containers and any sampling of the contents should be done in the clean environment before releasing for storage.  |  |
| 14.11.1.3. | If hazardous (e.g. toxic, corrosive, etc.) products are present on the site, is there a written procedure for the segregation or prevention of contamination? |   | The presence of any toxic product in the packaging area should be identified and recorded. Any risk of cross contamination and handling mistakes with a toxic product should be evaluated and proper prevention enforced. |  |
| 14.11.2. | **Are there packaging operations in place to ensure product quality and traceability?** |   | **Are there packaging operations in place to ensure product quality and traceability?** |  |
| 14.11.2.1. | Are there written procedures and records in place for all packaging and labelling operations ? |   | Written procedures should contain precautions to avoid cross-contamination during packaging operations, especially when materials are exposed to the environment. Written procedures for the marking and labelling of products should be in place to avoid incorrect labelling. Written documentation of filling processes is required, as a minimum. These records should contain product name, lot number, equipment, packaging operators, packaging materials, date and samples of labels used.  |  |
| 14.11.2.2. | Is each packed lot linked to a retained sample, if required by the customer? |   | Retained samples can be taken from the bulk product before packaging or during packaging operations. There should be one representative retained sample available from each lot, as a minimum. |  |
| 14.11.3. | **Are there control procedures in place to ensure appropriate quality of packaging materials?** |   | **Are there control procedures in place to ensure appropriate quality of packaging materials?** |  |
| 14.11.3.1. | Is the assessed company controlling the cleanliness of containers prior to filling? |   | No guidelines. |  |
| 14.11.3.2. | For each cleanliness inspection, does the assessed company keep a written report? |   | No guidelines. |  |
| 14.11.4. | **Are there appropriate procedures in place for processing and re-processing operations?** |   | **Are there appropriate procedures in place for processing and re-processing operations?** |  |
| 14.11.4.1. | Are there written procedures in place for each processing and reprocessing operation? |   | No guidelines. |  |
| 14.12. | Warehousing and shipments of packed products |   | Warehousing and shipments of packed products |  |
| 14.12.1. | **Are there appropriate warehousing procedures in place to protect product quality ?** |   | **Are there appropriate warehousing procedures in place to protect product quality?** |  |
| 14.12.1.1. | Are containers of sensitive products stored under appropriate storage conditions that are adequately monitored? |   | Containers should be stored in closed warehouses or under roofs, as a minimum, to avoid direct contact to rain, snow, sunlight etc. |  |
| 14.12.1.2. | In case you have to open a container, do you have a written procedure to prevent contamination? |   | Opening of product containers is a sensitive operation with a high risk of contamination. Written procedures should clearly define protective measures to avoid contamination. It is important to define the appropriate environment for opening, the equipment used, and how this should be done. Any opening of the containers in the normal storage area is prohibited. Every opening operation should be recorded and traceable.  |  |
| 14.12.1.3. | Do you re-seal the container after opening? |   | After opening, every container has to be re-sealed. A seal is providing important information for the customer about possible contamination during shipment. |  |
| 14.12.1.4. | Are there appropriate loading and shipment procedures in place? |   | Are there appropriate loading and shipment procedures in place? |  |
| 14.12.2. | **Are there appropriate procedures in place for the handling of returned Food Contact products?** |   | **Are there appropriate procedures in place for the handling of returned Food Contact products?** |  |
| 14.12.2.1. | Are returned products stored separately and appropriately handled, according to written procedures? |   | Any returned product should be quarantined and not fed back into the distribution chain for these products, unless re-certification, via extensive analytical testing, assures full compliance with the specification and other quality standards. Returned product should be stored separately and should be appropriately labelled. In order to avoid any risk of undetected contamination, it is recommended to downgrade any returned product from pharmaceutical/food to industrial grade. |  |
| 14.13. | Specific GMP+ Questions |   | Specific GMP+ Questions |  |
| 14.13.1. | **Are there appropriate procedures in place in relation to Animal Feed?** |   | **Are there appropriate procedures in place in relation to Animal Feed?** |  |
|   |  |   | These questions are only applicable if the warehouse is storing Animal Feed products and wants to be assessed towards this requirement. |  |
| 14.13.1.1. | Is there a procedure in place for the cleaning regime in accordance with the GMP+ Animal Feed product database requirements? |   | No guidelines. |  |
| 14.13.1.2. | Is there a procedure in place on how to work with the GMP+ Animal Feed Product Database and its updates? |   | No guidelines. |  |
| 14.13.1.3. | Is there a procedure in place for the order planning in accordance with the GMP+ Animal Feed product database requirements? |   | No guidelines. |  |
| 14.13.1.4. | Is there a procedure in place to establish the Animal Feed product category of a new product to be transported? |   | No guidelines. |  |
| 14.13.1.5. | Does the assessed company have a 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. |  |