

## SQAS Core - Questionnaire & Guidelines - English version - 2015

Item N°	Question	Guideline	Comments compulsory	RC	RC Improvement
<b>1</b>	<b>Management</b>	<b>Management</b>			
1.1.	Management Responsibility	Management Responsibility			
1.1.1.	Company Policies	Company Policies			
1.1.1.1	Does the company have a current written policy reflecting management's active commitment to:				
1.1.1.1.a	Safety & Health, Environment, Quality/customers requirements, Security, Behaviour Based Safety, Prohibited drugs narcotics and Alcohol, Training development, Non conformance reporting?	<p>The policy statement(s) must be clear and unambiguous concerning management's commitment to the safety of all operations, the health of the employees, the protection of the environment as well as the quality of the operations and services, meeting the customer's requirements at all times (including security). There should be evidence that the policy is reviewed, kept up to date, communicated effectively to the employees and signed by the present managing director. If a policy is missing the assessor should indicate which. All mentioned topics must be present in policy to score YES</p> <p>BBS (or an equivalent programme) aims to increase safety during activities by positively influencing the behaviour of operators/drivers through observation, coaching, communication and feedback. BBS principles are applicable for every SQAS module. Details on BBS can be found in the guidelines of section 1.2.3 of this questionnaire. It is envisaged that BBS programs are an integrated part of the company SHE policy. Verify if specific reference is made in the policy to Behaviour Based Program (as described in the CEFIC/ECTA BBS guidelines, brochures or equivalent documents).</p> <p>CEFIC website links : <a href="http://www.cefic.org/Industry-support/Transport-logistics/Best-Practice-Guidelines1/General-Guidelines/">http://www.cefic.org/Industry-support/Transport-logistics/Best-Practice-Guidelines1/General-Guidelines/</a></p> <p>Verify if it is explicitly stated in the policy that the use or being under the influence of any drug or alcohol is prohibited during working hours.</p> <p>For security : Protecting people, safeguarding the integrity of high value and hazardous products against loss by intentional destruction or theft, and proprietary information given into the custody of a logistic service provider is essential. Verify whether the importance of these objectives are specifically mentioned in the policy.</p>	x	x	
1.1.1.1.b	Corporate Social Responsibility (CSR) requirements?	<p>CSR is a concept whereby companies integrate social, labour and human rights and governance, safety and environmental concerns in their business operations and in their interaction with their stakeholders (This is also valid for sustainable procurement). For more information about CSR see <a href="http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0681:FIN:EN:PDF">http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0681:FIN:EN:PDF</a></p> <p>For Social: Fundamental human rights, working conditions and hours, non discrimination, freedom of association , prohibition of people working under the minimum age required by law. Verify if these topics are specifically mentioned in the policy.</p> <p>For Governance: Fair business/business ethics (e.g. anti-corruption and bribery, conflict of interest, fraud, money laundering, anti-competitive practices). Verify if these topics are specifically mentioned in the policy.</p> <p>For a glossary of CSR terms see the "Glossary of CSR terms" worksheet</p>	x	x	
1.1.1.2.	Are senior managers sufficiently visible and effective in carrying forward the SHEQ&Sec message?	Documents have to prove an active leadership by taking the lead in e.g. presentations, interventions, discussing HSSE in staff meetings as well as with (sub)contractors. Indicate what proof could be seen.	x	x	
1.1.1.3.	Does the line management interact and constructively encourage employees to be actively engaged in SHEQ&Sec performance improvement?	<p>There should be evidence in senior and middle management communication and meeting reports of following items :</p> <ul style="list-style-type: none"> <li>- encouraging staff and contactors to show involvement in SHEQ&amp;Sec issues</li> <li>- the follow-up of HSSE metrics against HSSE target like incidents, near misses, occupational illness case analysis</li> </ul> <p>Those should also be consequently discussed in the appropriate committee(s).</p>	x	x	
<b>1.1.2.</b>	<b>Roles &amp; Responsibilities</b>	<b>Roles &amp; Responsibilities</b>			
1.1.2.1.	Is there an organisation chart and associated job description defining each individual's role within the organisation, including the responsibilities for SHEQ&Sec and CSR				
<b>1.1.3.</b>	<b>Legislation and other requirements</b>	<b>Legislation and other requirements</b>			
1.1.3.1.	Is there proof available that the company stays abreast of all relevant legislation and legislative developments in the area of SHEQ&Sec and CSR and are persons formally designated or a source defined?	<p>Look for documentary evidence in the form of an up to date register of relevant legislation . At a minimum this includes environmental laws, safety and health regulations, corporate social responsibility and other applicable regulations. Focus on changes in legislation. Ask the company for examples of changes in legislation which happened during recent years if a new assessment, and the last 3 years if a re-assessment, and check how the company implemented them. If (a) person(s) is (are) formally designated, this responsibility should be clearly described in a job description. If an external source is used, there should be clear evidence of a contract, exchange of letters or some other form of written understanding, specifying the service to be provided, when and to whom within the Company.</p> <p>EU Directive : 89/391/EEC Art. 7 (Health and Safety)</p>	x	x	
1.1.3.2.	Is there a procedure present that legislative changes as detailed in the register of legal requirements are communicated and implemented in the company?	<p>Look for documentary evidence of communicated and implemented changes in the various applicable SHEQ&amp;Sec &amp; CSR management system documentation and registrations. Look also for communication/information to (relevant) employees.</p> <p>EU Directive : 89/391/EEC (Health and Safety)</p>			

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1.1.3.3.	Is a regular review made of the system for compliance with legal requirements ?	Look for evaluation documents and follow up of identified actions if any. This evaluation should be detailed towards new/adapted legislation and changes in operations.			
1.1.3.4.	Does the Dangerous Goods Safety Adviser produce an annual report to Management on the Companies' activities in the transport of dangerous goods, in accordance with legal requirements and within six months after year end?	Check that the Dangerous Goods Safety Adviser has produced an annual report by 1 July (Industry requirement). The report summarises the Company's activities concerning the transport of dangerous goods for the previous calendar year. Score "1" if the report is on time and in compliance with the legal requirements. Score "N/A" only if no dangerous goods are transported or loaded. Score "0" if the activity includes the transport or loading of dangerous goods and no report is available before 1 July, even if there is no legal obligation. EU Directive 2008/68/EEC - ADR 1.8.3.			
1.2.	<u>Personnel</u>	<u>Personnel</u>			
1.2.1.	<b>Recruitment</b>	<b>Recruitment</b>			
1.2.1.1.	Is there a written recruitment procedure which takes into account relevant experience, competence and education for all employees, including temporary staff?	Score "1" only if there is a written recruitment procedure for all functions and proof of the application of this procedure. Employees with different functions in the company should be checked.			
1.2.1.2.	Have all operating personnel (drivers, operators, etc.) undergone a periodic medical examination where required by law or the nature of the job?	Check for evidence that all relevant operating personnel have undergone such a periodic medical examination. This examination should be adapted to the risks inherent to the tasks of the operators.	x		
1.2.1.3.	Is there a written <u>grievance and</u> disciplinary procedure?	<u>Grievance is a complaint by an employee about an action, which his employer has taken or is contemplating taking in relation to him.</u> The <u>grievance and</u> disciplinary procedure should be a written one and communicated to all employees. It should include <u>what actions are required for raising a grievance and what</u> sanction will be applied in different cases and should focus on SHEQ&Sec and CSR . Verify by asking a sample of employees the content of this procedure.			
1.2.2.	<b>Training</b>	<b>Training</b>			
		If fully integrated subcontractors are used these drivers/operators should be included.			
1.2.2.1.	Is there a training programme in place for all personnel that results in an individual training plan <u>and is the training plan reviewed annually?</u>	A training programme is the overall procedure on training. A training plan is the output list of training to be followed. This question is about the programme and plan, but the implementation has to be in compliance with local legislation. Look for up to date training records and individual proof of the implementation of the training programme. If the training programme or training plan could not be followed, clear evaluations should be available to explain the discrepancies in combination with corrective actions. EU Directive : 89/391/EEC Art. 10. <u>Some tasks/activities may require a specific knowledge, experience or education. Discuss whether a conscious effort has been made to assign qualified people for specific (technical) aspects of the business, where required. The risk analysis is a basic document to identify such tasks.</u>	x	x	
1.2.2.2.	Are the following subjects covered in the training programme :	Check at random a sample of training records to confirm that the subjects mentioned under a to m are covered. The extent of this training should be in relation to the risks that the different employees are faced with and which are identified in the risk assessment, as mentioned in question 2.1.1. EU Directive : 89/391/EEC Art. 10 The " <u>Best Practice Guideline for Safe (Un)Loading of Road Freight Vehicles</u> " <a href="http://www.cefic.org/Industry-support/Transport--logistics/Best-Practice-Guidelines1/General-Guidelines-/">http://www.cefic.org/Industry-support/Transport--logistics/Best-Practice-Guidelines1/General-Guidelines-/</a> can be used to define in more detail how the training programme for LSP's is set up			
1.2.2.2a	- incident reporting, investigation and analysis ?	The training programme should cover responsibilities, notification processes, classification, and root cause analysis.		x	
1.2.2.2b	- dangerous goods handling	Score "N/A" if no dangerous goods are handled. To score a "1" training must cover at least all legal requirements linked to the areas of the company's scope, e.g. ADR, ADNR, RID, IMDG, GHS, etc. EU Directive 98/24/EC Art. 8 and ADR 1,3			
1.2.2.2c	- specific product or handling needs ?	Not only dangerous goods could present dangers but also other products or handling can cause certain risks. Giving training on these issues should be a part of the prevention measures mentioned in the risk analysis.			
1.2.2.2d	- use of PPE (Personal Protective Equipment) ?	The training programme should cover the company PPE policy, and the use and replacement of equipment. <u>Training program/records must explicitly show the content of the program.</u> Focus on the actual knowledge of the employees in the use of PPE. The PPE used have to be in line with the risk assessment carried out. Findings in documents (positive or negative) must always be checked with drivers/operators through interview. Score 1 if the interview provides positive evidence. If records are clear but the interview provides negative evidence, score 0. In these cases, it is recommended to add a comment explaining the score.		x	
1.2.2.2e	- company emergency procedures ?	The training programme covering emergency procedures should include practical as well as administrative aspects.		x	
1.2.2.2f	- spill prevention and control ?	The training should include loading and offloading procedures and the actions required by operators and drivers in the event of a spillage. <u>In the case of intermodal transport, an important aspect of the control also concerns the check on all openings e.g. manlid and valves for no leaks, integrity of the tank during the transit, which includes the check on the Interface locations, like rail terminals and seaports. The driver has to check when a container is picked-up or dropped-off</u>			x

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1.2.2.g	- Behaviour Based Safety (BBS) principles ?	Training covering BBS should be in alignment with principles as described in CEFIC/ECTA BBS guidelines: "Behaviour Based Safety Guidelines for training of drivers and safe driving of road freight vehicles" and "Best Practice Guideline for Safe (Un)Loading of Road Freight Vehicles" or equivalent and include at least : observation, key performance indicators, individual performance and re-training See <a href="http://www.cefic.org/Industry-support/Transport-logistics/Best-Practice-Guidelines1/General-Guidelines/">http://www.cefic.org/Industry-support/Transport-logistics/Best-Practice-Guidelines1/General-Guidelines/</a> It is recommended that non-transport companies proactively implement their own BBS Plan, based on the principles of equivalent programmes in Transport.	x	x	
1.2.2.h	- security awareness proportionate to the risk and their role within the business (Security of information should be included)?	Security awareness training shall address the nature of security risks, recognising security risks, methods to address and reduce such risks and actions to be taken in the event of a security breach. It shall include awareness of security plans (if appropriate) according to the responsibilities and duties of individuals and their part in implementing security plans. Training program/records must explicitly show the content of the program. In the case of transport companies, their planners and drivers have to be interviewed. The assessor has to focus on the actual knowledge of the employees about the risks aspects mentioned in the guidelines (e.g. protection of information and goods). Findings in documents (positive or negative) must always be checked with employees through interview. Score 1 if the interview provides positive evidence. If records are clear but the interview provides negative evidence, score 0. In these cases, it is recommended to add a comment explaining the score.			
1.2.2.i	- risk Assessment and risk Management?	Risk management is the identification, assessment, and prioritization of risks followed by coordinated application of resources to minimize, monitor, and control the probability and/or impact of unfortunate events. In case of transport companies, consult the "Guidance on Safety Risk Assessment for Chemical Transport Operations". Specific reference is made to Annex 1 of the "Best Practice Guideline for Safe (Un)Loading of Road Freight Vehicles". Identify the persons in the company who carry out risk assessment: Safety / Environment / Security responsible, planners, etc.: have they attended training in risk assessment? In case of transport companies, expect the drivers training to be provided at operating and practical level	x		
1.2.2.j	Communication skills?	Drivers and operators should have knowledge of the applicable expressions in English referred in the section 6 of the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles"			
1.2.2.k	All aspects related to prevention of bribery and corruption?		x		
1.2.2.l	Training in awareness of fatigue and tiredness	"Fatigue" in the understanding of this question is meant as deterioration in mental or physical performance due to prolonged physical or mental work - it occurs even in people who have had adequate sleep. All that may be needed to recover from fatigue is a rest from this work, or a change in activity ("a change is as good as a rest"). Sleep may not be needed if adequate sleep has already been taken. "Tiredness" or sleepiness is the likelihood of falling asleep, due to inadequate sleep, prolonged wakefulness, or working through the night.		x	
1.2.2.m	Company ethics policy / code of ethics?				
1.2.2.3.	Is a first aid training programme defined for identified persons and implemented ?	Verify even if not regulatory required, that the first aid training programme is documented and implemented (including refresher training). Check for participants and frequency. If required by legislation : verify the compliance in addition to the above. The assessor must identify in the comments if the first aid of the assessed company is covering a) an office set up only, or b) an operating site.	x		
1.2.2.4.	Are records available to support the delivery of the training plan?	Check that records are complete and up-to-date. The assessor should verify that there are records available for all training activities indicated in 1.2.2.2			
1.2.2.5	Are variances from the plan effectively followed up?	Examples: illness, new hires, job rotation			
1.2.2.6	Is the effectiveness of the training checked for each employee ?	Proof has to be available that shows that the effectiveness of the training was checked. This can be a test after the training, an evaluation of the work of the employee a certain time after the training, an output measurement of the performance of the employee,			
1.2.3.	<b>Behaviour Based Safety (BBS)</b>	<b>Behaviour Based Safety (BBS)</b> BBS guidelines already exist "Behaviour based safety guidelines for training of drivers and safe driving of road freight vehicles " and "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles", section 1: <a href="http://www.cefic.org/Industry-support/Transport-logistics/Best-Practice-Guidelines1/General-Guidelines/">http://www.cefic.org/Industry-support/Transport-logistics/Best-Practice-Guidelines1/General-Guidelines/</a> It is recommended that non-transport companies proactively implement their own BBS Plan, based on the principles of equivalent programmes in Transport.			

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1.2.3.1.	Has a BBS implementation plan or an established programme been set up with targets, resourcing and timeline ?	Check for a documented implementation plan or an established programme including targets and up to date status mentioning results. <b>The targets could be included in the general objectives of the company. If there is any doubt, assess this question after assessing the BBS section of the specific SQAS modules.</b> In the case of Transport Service and Warehouse assessments the "Best Practice Guideline for Safe (Un)Loading of Road Freight Vehicles", Part A, chapter 1, should be taken into account to determine the level of implementation of the 4 BBS levels given in the Guideline. Assessed companies that are not directly involved in (Un) loading of road freight vehicles could use the guidelines to have an equivalent programme in place to evaluate this level on implementation. <b>The assessor should record in comments the BBS level that the company has in place</b>
1.2.3.2.	Have the respective responsibilities of all personnel in the implementation of BBS been identified ?	Look for role descriptions referring to the following responsibilities in relation to BBS. Management are mainly responsible for the implementation and ongoing support of the BBS program. They should have defined roles, delivered resources, and removed barriers to a successful implementation, with results monitored against targets. Administrative personnel should understand and support the BBS program in order to avoid / eliminate planning and instructions which may be in conflict with the BBS principles. Trainers do not only execute the BBS training but they also collect data and report the results to management. All staff should understand the purpose of the BBS program, be positively committed to participate and accept preventative changes as a result of the BBS findings and analysis.
1.3.	<u>SHEQ&amp;Sec &amp; CSR Performance Analysis</u>	<u>SHEQ&amp;Sec &amp; CSR Performance Analysis</u>
1.3.1.	<b>Non-conformance reporting, investigation, analysis and corrective action</b>	<b>Non-conformance reporting, investigation, analysis and corrective action</b>
		Data should be available at every phase of the business from identifying new business through to customer reaction and feedback. The collection and analysis of data can indicate means of improving the service or conversely, can detect the onset of a reduction in the quality of service before it becomes a major issue. To verify the satisfactory operation of the reporting system, several sources of information should be checked such as reports to insurance companies, customer complaints and fines, feedback from internal observations (e.g. drivers).
1.3.1.1.	Is there a documented system in place for recording non-conformances regarding :	<b>This question (items a to i) only scores if there is a documented system in place for recording , clarifying what is a non-conformance, who must report, how and to whom. These questions are applicable for all domains such as environment, safety &amp; health, quality, security and CSR.</b>
1.3.1.1a	accidents & incidents ?	Accident : An unplanned event that did result in quality loss, injury, illness, or damage Incident : An unplanned event that could have resulted in quality loss, injury, illness, or damage If dangerous goods are involved, ADR § 1.8.5. could be <b>relevant</b> . Check also if these events are taken into account in the DGSA report.
1.3.1.1b	breaches of security and threats?	Every event involving security breaches or threats such as theft, vandalism, entry without authorisation, <b>unwanted access to ICT systems</b> ,. should be recorded and dealt with.
1.3.1.1c	unsafe behaviour & unsafe conditions ?	Situations or behaviour that did not result in quality loss, injury, illness, or damage, but have the potential to do so are to be registered and given a follow-up. <b>The number of records available should be confirmed by the assessor during the site inspection.</b> If there are no records in the file the assessor should take into account any evidence found during the visit of unsafe behaviour or conditions and scores this question zero.
1.3.1.1.d	regulatory compliance?	e.g. observed overdue implementation of new regulatory requirements, fines,
1.3.1.1.e	product contamination ?	Self explanatory
1.3.1.1.f	product discrepancies and shortshipments ?	Every product discrepancy or shortshipment (outside the normal operations) are considered
1.3.1.1.g	quality of services ?	The quality of services that are offered to the customers. Examples can be : late delivery, poor cleaning quality, non retrievable goods, <b>customer complaints</b> ....
1.3.1.1 h	corruption & bribery	<b>The assessor should ask to see the files recording any non-conformances. If the file is empty and the company states that there are not non-conformances, the assessor should write a comment. If the company claims that these records are confidential, the assessor should score 0 and record a comment</b>
1.3.1.1. i	grievance and disciplinary findings?	<b>The assessor should ask to see the files recording any non-conformances. If the file is empty and the company states that there are not non-conformances, the assessor should write a comment. If the company claims that these records are confidential, the assessor should score 0 and record a comment</b>
1.3.1.2.	Is a detailed report on non-compliances provided to the responsible management, containing immediate cause, root cause and recommendations for corrective actions to prevent recurrence?	A criteria to define when a non-conformance will open an investigation on root cause analysis has to be defined. Verify that there is a defined process/procedure for the recording, investigation, root cause analysis and corrective actions to be taken, with time scales for actions. Refer to the "Guidelines for investigating transport accidents/incidents and Root Cause Analysis". In these cases, a detailed written report should be prepared for the responsible management without undue delay and in alignment with the internal procedure. <b>Verify if the company has a system to check effectiveness of corrective actions.</b>

Comments compulsory	RC	RC Improvement
x	x	

Comments compulsory	RC	RC Improvement
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1.3.1.3.	After an incident/accident are the employees and contractors concerned informed and if necessary trained with the aid of a Root Cause analysis?	The feedback from an incident to all employees and contractors concerned is important to learn about the event and to prevent future occurrence. The Root Cause analysis should be the basis for such feedback and information. Verify if employees are aware of incidents and prevention measures. <i>Root cause analysis should also cover security incidents</i>			x
1.3.1.4	Is the customer informed promptly of all non-conformances involving his shipments/products?	Check from records that the customer concerned is properly informed, when his shipment is involved, and that this is done on a routine basis. Score "0" if it is <i>not done consistently</i>	x		
1.3.1.5.	Is the DGSA involved after an incident where dangerous goods were involved?	Check incident reports as well as the annual report of the DGSA. ADR 1.8.			
<b>1.3.2.</b>	<b>SHEQ&amp;Sec &amp; CSR Objectives and Trend Analysis</b>	<b>SHEQ&amp;Sec &amp; CSR Objectives and Trend Analysis</b>			
1.3.2.1.	Is there a process in place for the monitoring and analysis of SHEQ&Sec & CSR data to identify trends and to set objectives and is there an action in place to achieve these objectives ?	An effective system should be in place for the recording and analysis of data, which allows for the identification of trends in the number of SHEQ&Sec & CSR non-conformances. Check evidence that such a system exists. Ask to see a summary of the trend analysis for the last year(s). If a company has already been assessed, data should be available for the last three years, which should document continuous improvement on the issue. If not, this question must be scored with "0". <i>Examples of CSR objectives can be number of transport and/or occupational accidents, damages to the environment, people trained, number of internal/external audits, etc. Big companies can use "consolidated" reports including data from their subsidiaries, but analysis of the data of the assessed subsidiary should be available</i>	x	x	
1.3.2.2.	Is there a programme in place to measure and to improve the use of electricity by the company?	An effective programme should be in place for the measuring of consumption of electricity by the company. On top of this an improvement plan should be set up to optimise the use of electricity. This can be a planned reduction of the total amount but also a proven rationalisation.			x
1.3.2.3.	Is there a programme in place to measure and to improve the use of natural gas by the company?	An effective programme should be in place for the measuring of consumption of gas by the company. On top of this an improvement plan should be set up to optimise the use of gas. This can be a planned reduction of the total amount but also a proven rationalisation.			
1.3.2.4.	Is there a programme in place to measure and to improve the use of water by the company?	An effective programme should be in place for the measuring of consumption of water by the company. On top of this an improvement plan should be set up to optimise the use of water. This can be a planned reduction of the total amount but also a proven rationalisation.			x
1.3.2.5.	Is there a programme in place to measure and to improve the use of gasoil by the company?	An effective programme should be in place for the measuring of consumption of gasoil by the company . On top of this an improvement plan should be set up to optimise the use of gasoil. This can be a planned reduction of the total amount but also a proven rationalisation.			
1.3.2.6.	Is a programme in place to measure and to improve the output of emissions?	An effective system should be in place for measuring the emissions from the company. This can be CO2, dust, noise, Sox, Nox, ... . A programme that should lead to the reduction of these emissions should be in place and monitored.	x		
1.3.2.7	Is a programme in place to measure and to reduce the waste generated by the company activities?	An effective system should be in place for measuring and reducing the waste of the company, e.g. waste oil, scrap metal, old batteries, cargo residues, waste water, etc.			
1.3.2.8	Has the Safety, Health, Environment action plan of the company been reviewed against the applicable Responsible Care Programme ?	Check if an approved Responsible Care programme has been implemented The plan of the company has to be reviewed against it (there exists a Responsible Care programme managed by ECTA for transport companies, cleaning stations and warehouses). In the applicable RC Programme it is described how such a review is organised, e.g. annual submission to ECTA. <i>Refer to <a href="http://www.ecta.com/responsible-care.aspx">http://www.ecta.com/responsible-care.aspx</a></i>		x	
1.3.2.9	Does the company promote the principles of Responsible Care to logistic partners?	One of the success factors of RC is the promotion of the programme into the supply chain. The company should promote its logistic partners actively to join this RC programme.	x	x	
1.4.	<u>Management Review</u>	<u>Management Review</u>			
<b>1.4.1.</b>	<b>Management Meetings</b>	<b>Management Meetings</b>			
1.4.1.1.	Is a formal management meeting held at least once a year to review the management system?. This includes the SHEQ&Sec and CSR requirements	Check for evidence that a formal management review of the management system is held, at least annually, to evaluate the overall effectiveness of these systems. DGSA annual report, training programme, performance trends and action plans, risks... are examples to be included. <i>Big companies can show "consolidated" management review reports including information from all their subsidiaries, but analysis of the management systems of the assessed subsidiary should be available</i>	x	x	
1.4.1.2.	Does senior management monitor progress versus targets on SHEQ&Sec & CSR matters at relevant management meetings?	It should be evidenced that at every relevant management meeting held by senior management SHEQ&Sec & CSR matters are monitored regularly versus objectives and set targets. Verify if this is done. Who is the responsible Senior Management has to be defined.			x
1.4.1.3.	Is there evidence that learning on SHEQ&Sec issues are shared with the workforce ?	There should be a process in place between the management and employees on SHEQ&Sec to share learning and to raise any issues of concern. Ways to achieve this may be through toolbox talks or one to one discussions. Ask for objective documented evidence that feedback is shared and input from employees is encouraged.			x
<b>1.4.2.</b>	<b>Internal Audit</b>	<b>Internal Audit</b>			
		Fully Integrated Subcontractors (FIS) should be included in the internal audit programme.			

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1.4.2.1.	Is there a documented plan for internal auditing of all areas referred to in SQAS and compliance with applicable legislation and permits?	For an effective control of the Management Systems it is necessary to audit each stage of the management system. Such audit(s) should be thorough and comprehensive. The assessor should look for a written audit plan indicating a detailed system. A document detailing what will be audited, the frequency and who will do it must be available. Look specifically if the areas (chapters) as referred to in SQAS are sufficiently covered. The actual situation of the company should be compared with the applicable legislation and the permits. Fully Integrated Subcontractors (FIS) should be included in the audit programme.	x	x	
1.4.2.2.	For non-conformances identified in the audits, are action plans developed and are corrective actions taken ?	Ask to see minutes, memos, and reports documenting that the action plans are developed, followed-up and proper corrective action taken. <a href="#">The company should have a documented system to validate the effectiveness of measures taken.</a>			x
1.4.2.3.	Do those carrying out auditing have training <a href="#">and/or competence</a> in auditing and evaluation techniques ?	Internal audits should be conducted by people trained in auditing and evaluating techniques, be independent of the activity being audited and at the appropriate level within the organisation. Ask for objective evidence (course attendance, syllabus, diplomas, organisation chart, <a href="#">experience, competence evaluation</a> , etc.)			
1.4.2.4.	Are safety walk abouts carried out and documented by appropriate managers on a periodical basis?	Safety walk abouts are internal periodical safety inspections. (Sr)management should perform as a role model and show involvement. Therefore it is important that they participate in SHE inspections. A walkabout every three months is a minimum. The involvement of Sr management should be seen every year. <a href="#">The minimum period of time to score the question positively is one year in new assessments and the previous three years in re-assessments</a>			x
<b>2</b>	<b><a href="#">Safety, Health, Environment &amp; Security &amp; CSR</a></b>	<b><a href="#">Safety, Health, Environment &amp; Security &amp; CSR</a></b>			
2.1.	<a href="#">Risk assessment and management</a>	<a href="#">Risk assessment and management</a>			
		A documented system should be in place to identify all risks associated with the companies operations, the risk assessment should meet the requirements of statutory legislation as well as operational risks that are not covered by applicable legislation. The assessment to identify and reduce risks should be supported by implementation of an action plan, this will make the potential risks identified, measurable over a period of time in the operations. The system should take into account all risks of possible accidents, incidents or releases to the environment, which may cause human and/or environmental exposure. The risk assessment and management system should examine the following questions: - what are the hazards? - what can go wrong? - what is the probability that something will go wrong? - what is the potential impact on people, property and the environment? - what measures should/can be taken to reduce the identified risks as much as possible? <a href="#">*- is medical care available and ensured in case of emergencies?</a> Risk management should be regarded as a continuous process. The process should be repeated at regular intervals, based on practical experience and incident evaluation. High risk activities should receive more frequent reviews. A risk assessment should also be carried out each time there is a significant change in the operational activities (e.g. handling of new products, use of new equipment, changes in operating procedures). New projects should be evaluated at an early stage. The risk assessments for new projects should be carried out in close co-operation with the chemical suppliers. EU Directive : 89/391/EEC Art. 9 <a href="#">The "Best Practice Guideline for Safe (Un)Loading of Road Freight Vehicles" provides additional information for use by the assessed company, regarding: interfaces at loading and/or unloading; SULID; Non Standard Operations (NSO); egress and access; use of couplings; and many more. The assessor can also use this information as guidance to evaluate</a>			
2.1.1.	Is there a process to assess and document the Safety, Health, Environmental, Security risks and working conditions , related to all activities of the company, considering following aspects ?	To score a 'yes', a documented system (check for a matrix/schedule detailing ALL operational activities) should be in place (see main comment above) to assess and manage the risks of both existing and new operations. Check if the process of risk assessment is repeated at regular intervals (at least annually) for existing operations and takes into account practical experience obtained during the operations and from incident evaluations. Check if a risk assessment has been carried out each time there has been a significant change in the operational activities and for every new project. Check the risk assessment report of two recent new activities or projects. <a href="#">In case of transport companies, refer to the Cefic guidelines "Guidance on Safety Risk Assessment for Chemical Transport Operations". As a minimum the sections 5 "Qualitative Analysis" (risk matrix) and 6 "Accident scenarios with potential high consequences" has to be taken into account</a>			
2.1.1.a	- start-up of new operations/activities (e.g. new products, new routes) ?	The assessor should identify any new products recently carried, stored, handled or cleaned and at the same time any new routes that products are transported over. These activities should be verified by a risk assessment. The auditor should ask to see the DGSA report (if a DGSA is required, may be separated from the main DGSA Annual report) that assesses the safety and environmental impact of new products before carriage or new services that are planned. EU Directive 98/24/EC.	x	x	
2.1.1.b	- change of operations/activities (Management of Change) ?	From conversation with auditees identify any work practice changes. Check whether this warrants a risk assessment to mitigate the operating risk. Management of Change (MOC) can be defined as a documented and systematic approach to QSSHE organizational changes. This could be applicable to procedures, processes, equipment and/or technologies. Therefore the changes should be identified, reviewed, approved and acknowledged prior to the implementation. <a href="#">Look for regular reviews (minutes of meetings) or risk assessments within defined intervals. Emphasis on environment and security is necessary.</a>	x		x

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2.1.1.c	- periodic review of risks on current activities?	Current activities can be influenced by changing circumstances, legislation or incidents that happened. Critical tasks should be reviewed annually, non critical every three years. The assessor should check that the scope of the revision is in line with the activities defined in the PAD	x	x	
2.1.2	Has a risk assessment been conducted regarding computer information on customers, products and operations and are measures taken to mitigate identified risks?	Verify the risk assessment system as well as the company's internal computer system security, e.g. on EDI links, order processing and use of customer order details on an Internet site unauthorised access to the network.			
2.1.3	Are measures taken to control/mitigate all identified risks ?	It should be checked whether the company has taken appropriate measures to mitigate the risks identified in the risk assessment as much as possible, e.g. by: - adequate operating procedures - selection of appropriate equipment - route selection - appropriate training - emergency response arrangements - adequate collective and personal protective equipment EU Directive 89/391/EEC Art. 6. Reference to the guidance "Responsible Care Security Code", item 2.5. This guidance could help to identify points to assess <a href="http://www.cefic.org/Documents/IndustrySupport/RC%20tools%20for%20SMEs/Document%20Tool%20Box/Responsible%20Care%20Security%20Code%20-%20Guidance.pdf?epslanguage=en">http://www.cefic.org/Documents/IndustrySupport/RC%20tools%20for%20SMEs/Document%20Tool%20Box/Responsible%20Care%20Security%20Code%20-%20Guidance.pdf?epslanguage=en</a>	x	x	
2.1.4	Does the medical examination take into consideration the result of the risk assessment?	The medical examination of employees should be reflected by the risks that they (might) encounter during their work. (Also) for this purpose it is necessary that the risk assessment has been reviewed by a competent medical person.			
2.2.	<u>Safety</u>	<u>Safety</u>			
2.2.1.	<b>Personal Protective Equipment (PPE)</b>	<b>Personal Protective Equipment (PPE)</b>			
		Please note that this section deals with PPE used by "OWN Personnel" and fully integrated subcontractors. The controls over PPE of contract-personnel are covered in the section on subcontracting.			
2.2.1.1	Is there a written procedure defining what PPE has to be used under what circumstances ?	A very clear and comprehensive document, in accordance with the risk assessment, is expected to be available, defining in detail what PPE has to be used under what circumstances taking into account the instructions from the customers. Scrutinise in detail! The Driver Manual can be accepted as "a very clear and comprehensive document", if it complies with these requirements. The assessor should focus on the actual knowledge of the employees in the use of PPEs. Findings in documents (positive or negative) must always be checked with drivers/operators through interview. Score 1 if the interview provides positive evidence. If records are clear but the interview provides negative evidence, score 0. In these cases, it is recommended to add a comment explaining the score. In addition each operating procedure or instruction should specify what PPE including any training should be used for each specific operation or product specific training requirement. EU Directive 89/391/EEC Art.9. In case of transport companies, the PPE has to comply, as a minimum, with the standards indicated in the section 10 of the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles", unless local legislation has additional requirements. PPE selection must be clearly based on chemicals handled and activities performed. Instruction of customers are not always sufficient and should be evaluated by the carriers		x	
2.2.1.2.	Is the PPE regularly checked (before use and at set intervals) and replaced when required ?	The checking of equipment should be documented, with indication of the inspection date, name of the inspector and comments. The auditor should ask to see an issue register for PPE to employees, this can then verify re-issue of defective PPE equipment. The register should also show the frequency of checks on PPE to verify condition.			
2.2.1.3.	Are instructions and training provided when category III PPE or other specific precautions are needed and used?	Examples from type III PPE are : self contained breathing apparatus, filters, pressure suits, harnesses, ... For specific chemicals such as PEG in case of phenol handling, calciumgluconate in case of Fluoric acid handling etc. special precautions and training are needed. EU Directive : 89/686/EEC - 89/391/EEC		x	
2.2.2	<b>On site Emergency Preparedness and Response</b>	<b>On site emergency Preparedness and Response</b>			
2.2.2.1.	Is there a written plan for dealing with on-site emergencies and potential crises?	The written emergency plan should cover all applicable scenarios and should be regularly updated. Check if all the described arrangements are in place. Verify if individuals understand their specific responsibilities in case of an emergency. The emergency response plan should also contain any customer specific contacts on a 24/7 basis. An emergency may turn into a crisis. Check that this crisis plan which may be part of the emergency plan.		x	
2.2.2.2.	Does this written plan contain the following information :				
2.2.2.2a	individual responsibilities ?	The auditor should check that responsibilities from top management down to the Incident supervisor are clearly defined, this being to assist with clear lines of demarcation and reporting.			
2.2.2.2b	arrangements for 24/7 hours coverage by trained responders ?	The auditor should ask for a register of Incident supervisors and what method is used to obtain 24/7 coverage, from this point questions should be asked of the incident supervisors onsite as to 24/7 coverage and the receipt by them of the schedule for 24/7 coverage.			
2.2.2.2c	a list of the different parties to be informed with their contact details (customers, authorities) ?	The emergency response plan should detail parties to be informed in the event of an emergency, both internally and externally.			

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2.2.2.2d	a procedure for handling the information towards the neighbourhood, the press and other interested parties of serious accidents/incidents that happened on site?	Check that this procedure is incorporated into the emergency plan. The different responsibilities and competences should be mentioned as well as training needed by those employees dealing with communication and information. Look also for an up to date list of contact numbers of applicable parties.			
2.2.2.3.	Is the emergency equipment maintained, tested or checked on a regular basis?	Fire hoses, fire extinguishers, eye bottles, emergency showers, breathing apparatus, first aid kit should be maintained/checked/tested on regular basis. The interval depends of the equipment and the local legislation. Proof can be seen on the equipment or in an adequate report.			
2.2.2.4.	Has there been a comprehensive test of the emergency plan for on-site emergencies during the past 12 months ?	Evidence of a practical emergency exercise to test the system for on-site emergencies during the last 12 months is required.	x		
2.2.2.5.	Is there a documented business continuity plan and does this plan contain the customer contacts to be informed ?	This is a plan to ensure that operations continue in case of business disruptions/catastrophes due to different reasons.			
2.3.	<u>Health</u>	<u>Health</u>			
2.3.1.	Is the operating site informed about the relevant regulations for all products transported and/or handled ?	In combination with the changes in legislation (see also 1.1.3.1) the company should ensure that it and its employees stay abreast of the regulations concerning the products transported/handled. It is obvious that customers and suppliers should be involved. EU Directive 98/24/ EC Art. 8. <b>Focus on changes in legislation. Ask the company for examples of changes (check updated register in 1.1.3.1) in legislation which happened during the recent years if a new assessment, and the last 3 years if a re-assessment, and check how the company implemented them.</b>			
2.3.2.	Are current Safety Data Sheets available from the manufacturers for all products transported and/or handled?	A product acceptance procedure should be in place asking for the product safety data before the product is handled. Product safety data should be supplied by the consignor/manufacture and maintained as current at all times by the consignor/manufacture. Check the accessibility of this information at the site (e.g. a file with the Safety Data Sheets of all the products transported or handled). Check at random the available information for a few products.		x	
2.4.	<u>Security</u>	<u>Security</u>			
2.4.1.	Is there a system to monitor entry, exit and to limit access to restricted areas of all personnel and visitors through positive identification ?	Give a score for any effective control method, e.g. security guard, electronic card entry system, <b>registered entry</b> , etc. Limited access to restricted areas <b>should be in place</b> . Reference to the "Responsible Care Security Code", item 3.1. The guidance could help to identify points to assess <a href="http://www.cefic.org/Documents/IndustrySupport/RC%20tools%20for%20SMEs/Document%20Tool%20Box/Responsible%20Care%20Security%20Code%20-%20Guidance.pdf?epslanguage=en">http://www.cefic.org/Documents/IndustrySupport/RC%20tools%20for%20SMEs/Document%20Tool%20Box/Responsible%20Care%20Security%20Code%20-%20Guidance.pdf?epslanguage=en</a>			
2.4.2.	Is there a procedure in place, requiring documented periodical inspections, to identify breaches in the security of the buildings/premises?	Check the availability and the use of periodic inspection sheets or security check lists and verify the reporting of incidents and its remediation.			x
2.4.3	Is a system in place to ensure that communication dialogue and information exchange on security issues is appropriate?	Check how security threats are communicated to employees and contractors. The system should include information to employees and management when the threat level changes. A system to exchange information with local / national law enforcement agencies should be in place. Refer to "Responsible Care Security Code" guidance, section 5			
2.4.4	Is a system in place to ensure that response to security threats and incident are defined?	Check reporting and action plans for security incidents / threats. Refer to "Responsible Care Security Code" guidance, section 6			
2.5	<u>Labour Policy and human rights</u>				
2.5.1	Are specific mechanisms in place to ensure effective implementation of your company's <u>Career Management and training policy</u> ?	The following mechanisms should be in place: Transparent recruitment process (communicated clearly and formally to all candidates), regular assessment (at least once a year) of individual performance, setting of Individual development and career plan for all employees, official measures promoting career mobility, policy to give priority to internal recruitment, provision of skills development training, official measures to anticipate or reduce layoffs and associated negative impacts (e.g. financial compensation, outplacement service)			
2.5.2	Are specific mechanisms in place to ensure effective implementation of your company's <u>non discrimination policy</u> .	The following mechanisms should be in place: company public commitment to avoid discrimination (e.g. colour, race, gender, religion, ethnic, social), company proactive measures to avoid discrimination during recruitment phase, company specific awareness and training programs for managers, company specific targets (exceeding legal requirements) to employ disabled people, work conditions and provision of work stations adapted to disabled, company specific measures to promote gender equality in the workplace (i.e. network groups, programs for advancement of women, equal pay, etc.), whistle blowing procedure (employee's report of suspected wrong doing at work) or disciplinary measures enforced	x	x	
2.6	<u>Fair business practices</u>				
2.6.1	Has the company formalized the fair business practices ?	To score positively, the following mechanisms have to be covered: Risk assessment on business ethics conducted on the upstream supply chain to define policies, communication of Code of Ethics/business ethics policy to all employees, communication of Code of Ethics/business ethics policy to business partners (e.g. suppliers)			



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2.6.2	Are there mechanisms in place to ensure effective implementation of the anti-corruption and bribery policy? (including for instance: conflict of interest, fraud, money laundering)	To score positively, the following mechanisms has to be in place: signature acknowledgement of anti-corruption policy required for all concerned employees, specific approval procedure for sensitive transactions (e.g. gifts, travel), specific procedures for retaining and using third-party intermediaries (i.e. due diligence, certifications), structured mechanisms to deal with policy violations (e.g. potential sanctions), secure communication channel for employees to seek advice or voice concerns (e.g. hotline, whistle blowing procedure), internal audit on compliance with anti-corruption and bribery policy, internal controls (e.g. four eyes principle, separation of functions, job rotation). To score positively, the company should have established effective and appropriate internal controls to identify and prevent corruption (e.g. multiple-eye principle, specific approval procedure for sensitive transactions (e.g. financial benefits).	X	X	
2.6.3	Are there mechanisms in place to ensure effective implementation of the anti-competitive practices policy?	To score positively, the following mechanisms has to be in place: signature acknowledgement of anti-competitive practices policy required for all concerned employees, structured mechanisms to deal with policy violations i.e. potential sanctions, awareness or training program on anti-competitive practices (e.g. cartels, price fixing, bid rigging), internal audit on compliance with anti-competitive practices policy	X		
<b>3</b>	<b>Procurement of services</b>	<b>Procurement of services</b>			
3.1.	<u>Service partners</u>	<u>Service partners</u>			
		In some cases, the assessed company may find it necessary to subcontract out any or all of the logistic 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. Section 3.1 applies to any kind of subcontracted logistic services. In case of Cleaning Stations and Warehouse assessments, the section 3.1 covers the subcontracting services provided by these kind of service partners. The relevant, and much more detailed questions regarding the service partners as described in the "Cefic/ECTA Guidelines on Subcontracting of Chemical Road Haulage" can be found in Chapters 4.2 and 4.3 of the SQAS Transport Service module and chapters 4.1 and 4.2 of the SQAS Rail module.			
3.1.1.	Is there a documented process for 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 elements?	Look for a documented process including a risk assessment covering SHEQ&Sec&CSR 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 requirements. This may include choice of transport mode (road, rail, barge, ferry, roro, air) and respective means of transport like type of containment and equipment. For other activities such as warehousing or tank cleaning, this question should also be answered if external warehousing and/or tank cleaning services are used.			X
3.1.2.	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.		X	
3.1.3.	Are annual SHEQ&Sec & CSR targets set for, and communicated to all involved service providers in the supply chain ?	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 involved in the supply chain have been considered. This includes carriers of all modes of transport, pre- and onward carriage and any partner in charge of handling and transshipment, or any partner involved in either warehousing or tank cleaning.			
3.1.4.	Does the company follow-up the service providers actions to ensure achievement of these targets ?	Look for documentary evidence about annual reviews of set targets with all involved partners and status of defined action plans towards achievement of the agreed objectives.			X
3.1.5.	Is there a documented plan for assessing subcontractors in all areas referred to in SQAS and compliance with legal requirements?	Such audit(s) should be thorough and comprehensive. The assessor should look for a written assessment plan indicating a detailed system. A document detailing what will be audited, 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 areas the subcontractors' SQAS report can be used as a basic document for this evaluation.			X
3.2.	<u>Contractors</u>	<u>Contractors</u>			
3.2.1.	Are contractors, working on the site others than logistics service contractors, provided with relevant health, safety, security, and environmental and CSR information to ensure that on site services are performed safely?	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 § 2			X