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Item N°	Question	Guideline	Comments compulsory	RC	RC Improvemen	Score
4	**Supply chain management and subcontracting**	**Supply chain management and subcontracting**				
4.1.	Supply chain management	Supply chain management				
4.1.1.	Is the segregation of goods checked and controlled from the planning through to the loading stage ?	Look for respective procedures and practices regarding the segregation of different types of cargo, food products, etc. in line with legal requirements. For dangerous goods ADR chapter 7.5.				
4.1.2.	Has the company a documented process to control its services from loading point to delivery at the final consignee ?	Verify through a sample of transactions how the company traces and follows current status/location during transport and transit. In larger companies, effective control of the status of shipments along the supply chain could be based on IT-technologies like barcodes, RFID (Radio Frequency Identification) or SCEM(Supply Chain Event Management) but also through document scanning, calling in or other follow-up. Look at whether the process description covers the complete supply chain.	x			
4.1.3.	Are all customer instructions and requirements followed through the complete supply chain?	Evidence has to be checked by looking at the agreements signed by subcontracted companies (non-integrated) and whether customer requirements have been included or added. The assessed company must ensure that their subcontractors comply with his own requirement profile as well as the requirement profiles of the customers (chemical companies). Fully integrated subcontractors are seen as own drivers.				
4.1.4.	Does the company have a formal process in place enabling on-time delivery reporting and follow-up at all stages of the supply chain (including the identity of any person and the reason for causing or requesting changes) ?	Look for a formal reporting process of on-time delivery. As best practice the Cefic/ECTA guidelines on "Standardized Coding of Transport Events" can be consulted. Cefic website : http://www.cefic.org/Industry-support/Transport--logistics/Best-Practice-Guidelines1/General-Guidelines-/				
4.2.	Subcontracting services	Subcontracting services				
4.2.1.	**Subcontracting policy**	**Subcontracting policy**				
		It is of critical importance that any road haulage which is subcontracted to another haulier is operated to equivalent safety and quality standards as that of the main contractor. Contracting hauliers must have systems in place providing this assurance, in line with the Cefic/ECTA Subcontracting Guidelines. Cefic website : http://www.cefic.org/Documents/IndustrySupport/Transport-and-Logistics/Guidelines_RoadTransport_October2005.pdf For other "Transport Services", equivalent standards shall be considered.				
4.2.1.1.	Does the company have a written policy for subcontracting transport and transport related services (including the selection process, performance assessment and monitoring) ?	The subcontracting policy shall describe the selection process of subcontractors and should clearly state that road haulage and other transport services will not be subcontracted until the subcontractors' safety and quality management systems have been assessed and judged to be of a comparable standard to that of the contracting haulier. The policy should also state the conditions for ongoing assessment of the safety standards and performance of the sub-contractor. The policy should take into account any restrictions defined by the customers. Only one level of sub-contracting is allowed unless explicitly agreed otherwise with the customer (no sub-subcontracting).	x	x		
4.2.1.2.	Are the requirements and restrictions of the customer chemical companies including spot subcontracting, reflected in the subcontracting policy ?	Verify that any specific customer requirements from the chemical companies are specifiedin addition to the requirements set forward by the Cefic/ECTA Guidelines on subcontracting.				
4.2.2.	**Fully integrated subcontractors/drivers**	**Fully integrated subcontractors/drivers**				
		Transportation companies can provide a transport service to a Main Haulier as Subcontractors and can be fully integrated in the Main Haulier's Management System, without however losing their status as independent companies and without limiting their possibility to work for other Main Hauliers or as a Main Haulier themselves. Examples of such an integration are numerous, for example: • The equipment of the Subcontractor is integrated in the transport planning system of Main Haulier; • The drivers' training of the Subcontractor is fully integrated with Main Haulier's Drivers training programmes; • The performance follow-up is identical to the Main Haulier's, etc. The fully integrated Subcontractor is completely free to set his individual standards and should therefore be carefully selected by the Main Haulier. The Agreement signed or reached with the Subcontractor should reflect all the standards agreed between the parties. The performance of the fully integrated Subcontractor should be monitored and regular discussions should follow up on the improvement process. Assessment of his performance should be integrated in the SQAS assessment of the Main Haulier. If it is indicated in the PAD that fully integrated Subcontractors are not used, this chapter will be N/A. To verify the implementation of the policies and procedures, the assessment shall include interview with a number of own drivers and a number of fully integrated drivers. The assessor has to identify over the duration of the assessment at least two drivers including FIS (if applicable) for interview. The number interviewed should give an acceptable objective overview of the company.				
4.2.2.1.	Does the company maintain an up-to-date list of fully integrated subcontractors/drivers ?	Verify, by a sample of current transport orders, that all the hauliers are listed and approved as integrated subcontractors/drivers.				
4.2.2.2.	Are procedures in place to ensure that fully integrated subcontractors/drivers are covered in each part of the company's management system?	As explained in 4.2.2. these drivers should be integrated into the management system of the assessed company like own drivers. If their trucks/trailers are not maintained/inspected as the own truck/trailers there should be evidence that the company does a review of this maintenance/inspections. Verify by interview.	x	x		
4.2.3.	**Non-integrated subcontractors**	**Non-integrated subcontractors**				

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Item N°	**Question**	**Guideline**				
		A non-integrated subcontractor is, to the main haulier, a known Logistic Service Provider with its own management system. The drivers stay under full control of the non-integrated subcontractor. When the Subcontractor is not fully integrated into the Main Haulier's Management System, the Main Haulier should review the standards of this Subcontractor against the criteria applied by his customer and, as best practice, against all criteria described in these guidelines. The methods used to assess a potential Subcontractor should be the choice and responsibility of the Main Haulier, but the SQAS scheme can provide useful support. When the potential Subcontractor is SQAS assessed, the Main Haulier can check the SQAS report of the Subcontractor to assess if the requirements of his customers and his own requirements are met. The SQAS report provides information on key points of HSE and Quality to the Main Haulier when he considers contracting with an SQAS assessed Subcontractor. In the absence of an SQAS report, the Main Haulier should select the criteria and verify and monitor compliance of the criteria himself. The Main Haulier should keep his own records of his Subcontractor's assessments and performances regarding the subcontracting criteria of these guidelines. The Guidelines do not preclude Main Hauliers from entering into agreements with subcontractors that have been assessed with alternative assessment or certification systems, providing that equivalent information on HSE and Quality standards performance is supplied. If it is indicated in the PAD that non-integrated Subcontractors are not used, this chapter will be N/A.				
4.2.3.1.	Does the company maintain an up-to-date list of approved non-integrated subcontractors ?	Verify, by a sample of current transport service orders, that all the service providers are listed and approved as subcontractors by a responsible manager.		x		
4.2.3.2.	Does the company hand out Driver Handbooks to drivers of non-integrated subcontractors or check that the subcontractor's handbook is consistent with its own ?	Look for proof by way of a register that the driver's manual was handed out to all listed non-integrated subcontractors or that consistency has been checked. Verify the handbook's presence (the most recent version) when you interview drivers. When handing over the handbook, sensitive information can be deleted. Verify that the items of the question 9.2.1.4 are included in the subcontractor's manual				
4.2.4	**Unplanned spot services by subcontractors**	**Unplanned spot services by subcontractors**				
		Spot is defined as sudden calls upon subcontractors through some kind of "phone book" directory selection, e.g. Internet, Minitel, yellow pages type selection. Spot selected subcontractors have to be treated like all other subcontractors, i.e. they should conform to the HSE and Quality standards set by the Main Haulier and his shipper. If it is indicated in the PAD that spot contractors are not used, this chapter becomes NA				
4.2.4.1.	When the company has to deploy unplanned resources in the supply chain, are the minimal service requirements documented and requested of these service partners ?	Look for evidence that the minimum requirements (as defined in 4.3.1.1.) have been communicated and verified.			x	
4.3	Performance monitoring of subcontractors	Performance monitoring of subcontractors				
4.3.1.	**Performance criteria**	**Performance criteria** In subsidiaries of multi-site companies, a centralised system could be present to select and monitor subcontractors. In this case, section 4.3.1 is always applicable				
4.3.1.1.	Is there a written agreement with each subcontractor that contains the requirements and standards relating to the following criteria:	The assessor should check all legal requirements as detailed in the questionnaire. Review a sample of subcontractor files, and check-off the performance criteria that are reflected in the formal agreements with fully-integrated and non-integrated subcontractors. A formal agreement can be a contract to which all orders are related				
4.3.1.1.a	- compliance with all relevant national and international regulations and laws ? - operating licences consistent with the activities and operations ? - drivers/operators holding valid ADR licenses/certificates? - working/driving hours compliance and keeping records? - drugs and alcohol policy ? - appointment and fulfilment of the duties of the DGSA? - vehicle inspection and testing? - adequate driver selection? - comprehensive insurance coverage ? - PPE/ emergency equipment? - security provisions as required by applicable legislation ?	If any of these requirements is not a legal requirement in the country the assessor should consider this specific requirement "not applicable" and write a comment. - drivers/operators holding valid ADR licenses/certificates: Refer to EU Directives 2003/59/EC and EU 2000/56/EC. - working/driving hours compliance and keeping records: refer to Reg EC 561/2006 and Directive 2002/15 - drugs and alcohol Policy 26/05/2014: Any use of alcohol and (non medically prescribed) drugs should be prohibited. - appointment and fulfilment of the duties of the DGSA: Refer to ADR - Chapter 1,8. - vehicle inspection and testing (according to ADR requirements) - adequate driver selection: check the qualifications of the drivers in combination with legal and customer requirements (if any). - comprehensive insurance coverage : verify that insurance coverage is reflected in allthe agreements with approved subcontractors, such that compliance with legal and customer requirements, can be reviewed on an annual basis. - PPE/ emergency equipment: for transport of dangerous goods the requirements are defined in ADR 8.1.5. Other requirements are dependant on products (SDS) and customer requirements. - security provisions: besides ADR / RID / ADNR 1.10, other security provisions may apply depending on the logistics operation .	X			
4.3.1.1.b	- hose monitoring and testing ?	The assessor should check that the company is in compliance with national and international legislation concerning hose testing, and note if certain products have additional hose testing requirements.			x	
4.3.1.1.c	- implementation of Behaviour Based Safety (BBS) on driving and loading/unloading according to the Cefic BBS Guidelines for safe driving and (un)loading?	No guidelines		x		
4.3.1.1.d	Journey Plans including safe and secure vehicle parking?	This is applicable in any case. For the parking of vehicles carrying dangerous goods refer to ADR chapters 8.4, 1.10.1.3 and 1.10.3.2.2 (c) Refer to question 9.1.1.3				
4.3.1.1.e	- carry forward transport and customs documents to all service partners in the chain, including EIR (Equipment Interchange Receipt) if required ?	No guidelines				
4.3.1.1.f	- use of emergency number / emergency response capabilities ?	This can be the use of the emergency number of the main haulier or a specific one from the subcontractor. There can also be a formal agreement with a service provider specialised in emergency response. This possibility has to be combined with an internal 24/7 manned telephone.		x		
4.3.1.1.g	- vehicle preventive maintenance ?	A level of compliance in accordance with applicable questions of SQAS. In some countries preventive maintenance could be a legal requirement.			x	

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4.3.1.1.h	- use of approved tank cleaning stations ?	To be approved by the LSP in relation to the customers contract (if applicable) and the relevant questions of SQAS.		x		
4.3.1.1.i	- compliance with customers site requirements?	Check the instructions given to subcontractors' drivers regarding the following of procedures at loading and unloading sites : e.g. working atheight, safe tank entry procedure, sampling responsibilities and safe sampling practices, load securing, and cleanliness of equipment. Provide a positive score only if all the elements are covered, otherwise record your comments accordingly. The customers site can be the loading and/or unloading site.				
4.3.1.1.j	adequate driver training criteria (e.g. product specific training, legal training, customer specific training)?	The legal supplementary training (in compliance with EU Directive 2003/59/EC) fordrivers has to be seen in combination with specific product or customer training. SDS and customer requirements to be checked.		x		
4.3.1.1.k	- no sub-subcontracting of haulage?	Only one level of sub-contracting is allowed unless explicitly agreed otherwise with the customer (no subsubcontracting).				
4.3.1.1.l	-handling and reporting of non-conformances (transport events)?	including accidents/incidents, near misses, .. (ECTA coding systems) This also includes defects reported by the driver.			x	
4.3.1.1.m	- confidentiality of operational and commercial data ?	No guidelines				
4.3.2.	**Performance monitoring process**	**Performance monitoring process**				
4.3.2.1.	Has the company a documented process for the evaluation and performance monitoring of all its service partners ?	Look for a sample of evaluation and performance reports and for evidence that a dialogue has taken place in a follow-up of improvement actions, through minutes of meetings and other communications. Coverage of all applicable elements as mentioned in 4.3.1.1. should be present.	x			
4.3.2.2.	Are all service partners who are SQAS assessed evaluated on the basis of the following packages :	Look for evidence that the company has analysed its partners' reports from the SQAS databases or alternatively has obtained extracted reports directly from the assessed companies. The analysis has to contain a conclusion, if applicable, an action plan based on the report and has to be signed by the management. The evaluation report should include the performance criteria of the written agreement according to 4.3.1.1. If the agreed criteria are not met they should be mentioned in the action plan of the evaluation report.				
4.3.2.2a	- SQAS Transport Service for all non-integrated hauliers?	Non-integrated subcontractors are included. The evaluation of fully integrated subcontractors is undertaken through the internal audits as described in 1.4.2.1.	x		x	
4.3.2.2b	- SQAS Warehouse for warehousing services?	No guidelines				
4.3.2.2c	- SQAS Rail for Rail carriers?	No guidelines				
4.3.2.2d	- SQAS Cleaning for cleaning stations ?	No guidelines		x		
4.3.2.2e	When the SQAS reports for the cleaning stations are analysed, have the questions related to entry into a confined space been checked by the transport company?	No guidelines				
4.3.2.3.	When SQAS packages are not used, is the company using alternative assessment systems to evaluate its service partners ?	The method and areas of assessment should be summarised in the comments. Look for evidence that the company has analysed the assessment reports of the service partners. The analysis has to highlight any shortcomings and contain a conclusion that meets the performance criteria of the written agreement according to 4.3.1.1.	x			
4.3.2.4	When SQAS packages are not used, are the following criteria taken into account to evaluate the service partners:	The assessor should check for the level of implementation and ongoing dialogue with the subcontractor.				
4.3.2.4a	Legal requirements as defined in section 4.3.1.1.a	No guidelines				
4.3.2.4b	- implementation of Behaviour Based Safety (BBS) on driving and loading/unloading according to the Cefic BBS Guidelines for safe driving and (un)loading?	No guidelines		x		
4.3.2.4c	- drugs and alcohol policy ?	No guidelines				
4.3.2.4d	Journey Plans including safe and secure vehicle parking?	The assessor should check if the Main Contractor issues Journey Plans to any Sub Contractor, including safe and secure vehicle parking. Alternatively, the Main Contactor ensures that the Sub Contactor issues Journey Plans specific to these journeys, including safe and secure vehicle parking.				
4.3.2.4e	- carry forward transport and customs documents to all service partners in the chain, including the EIR (Equipment Interchange Receipt) if required ?	No guidelines				
4.3.2.4f	- use of emergency number / emergency response capabilities ?	No guidelines		x		
4.3.2.4g	- vehicle preventive maintenance ?	No guidelines			x	
4.3.2.4h	- use of approved tanker cleaning stations ?	No guidelines		x		
4.3.2.4i	- compliance with customers' site requirements	No guidelines				
4.3.2.4j	- adequate driver training criteria (e.g. product specific training, legal training, customer specific training)	No guidelines		x		
4.3.2.4k	- no sub-subcontracting of haulage?	No guidelines				
4.3.2.4l	-handling and reporting of non-conformances (transport events)	No guidelines			x	
4.3.2.4m	- confidentiality of operational and commercial data ?	No guidelines				
4.3.2.4n	- security provisions as required by applicable legislation ?	No guidelines				
4.3.2.5	Do you retain documented evidence that compliance with the performance criteria :	No guidelines				
4.3.2.5a	- was verified before the agreement was signed with each subcontractor, and repeated regularly ?	Compliance should have beenchecked before the agreement was signed and be monitored at least on an annual basis. Check for documented evidence that performance monitoring has taken place, either through a review of the SQAS assessments, or by the direct auditing of these hauliers.				
4.3.2.5b	- is followed-up on a regular basis through dialogue and improvement action programmes with subcontractors selected based on performance review?	A performance review programme has to be present (follow up of non-conformances, performance criteria, evaluation sheets, ..) in combination with an evaluation of the improvement. The selection criteria from the performance review should be dependant upon the risk impact of the service provider.	x			
5	**Equipment**	**Equipment**				
5.1.	Equipment specification	Equipment specification				
5.1.1.	Is there a procedure covering responsibilities for the purchase of equipment?	If a holding company is responsible for purchasing and/or maintaining the equipment of the assessed site, copies of the relevant documents of the holding company are to be presented to the assessor.				

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Item N°	Question	Guideline	Comments compulsory	RC	RC Improvemen	Score
5.1.2.	Is there a written specification for the purchase or lease of each vehicle/tank/tank container and associated equipment including the following items:	Check the latest specification and also the contract for a recently purchased vehicle or tank container, including associated equipment e.g. hoses, gaskets. Regulated items such as seatbelts, dead angle mirrors, .. must always be present. All required non-regulated items should be included in the purchase of the equipment.				
5.1.2.a	- air conditioning ?	It has been proven that air conditioning improves the driver's concentration, thus enhancing safe driving in general. Additionally, the wearing of clothes covering the whole body indirectly contributes to safety, as it will reduce injury in case of sudden contact with chemicals.				
5.1.2b	- roll-over detection warning system ?	A warning system to signal the risk of a roll-over to the driver's dash-board is a basic level of protection, and this should be distinguished from the Electronic Stability Programme (see 5.1.2d) which provides a more superior level of safety assurance.				
5.1.2c	interlocking of the fifth wheel coupling?	The interlock system prevents driving away when the fifth wheel is not locked				
5.1.2d	- Electronic Stability Control ?	Electronic Stability Control (ESC) is the generic term for systems designed to improve a vehicle's handling, particularly at the limits where the driver risks losing control of the vehicle. Truck manufacturers use a range of different marketing names (ESP, VSA, DSC, CST, VDC, etc.). ESC compares the driver's intended direction in steering and braking inputs, to the vehicle's response, and corrects via lateral acceleration, rotation (yaw) and individual wheel speeds and helps the driver maintain control of the vehicle.				
5.1.2e	- retro-reflective back and side markings ?	Retro reflective back and side markings run over the contour of the back and side of the trailer.				
5.1.2f	- forward distance alert system?	This system warns the driver when his truck is too close to an object (car, other truck, ..) in front of him in relation to his speed. An automatic braking /slow down system is optional.				
5.1.2g	Lane departure system?	A lane departure warning system is a mechanism designed to warn a driver when the vehicle begins to move out of its lane				
5.1.2h	Driver falling asleep guarding systems	No guidelines				
5.1.2i	- blocking system for communication during rolling?	A system that automatically blocks every communication (mobile phone, datarecievers) during rolling should be installed. When standing still the system can allow all communication.				
5.1.2j	- supplementary braking system?	A system allowing braking not only on the main braking system (engine break, …) should be mounted.				
5.1.2k	- safe access to all loading/unloading equipment?	Safe access to all equipment is necessary at all times. E.g. when 30 ft chassis are used for the transport of 20 ft containers, the foot valve must be reached without the risk of falling. Always to be commented.	x			
5.1.2l	- truck management system ?	A truck management system, interfaced with a central fleet management tool, allows the company to actively coach the drivers. This system transmits data about fuel economy, safe driving performance, use of breaks, driver behaviour and other useful information. It can be used in the BBS programme of the company.			x	
5.1.2m	- remote controlled bottom valve?	When tanks are discharged under pressure, the driver must be able to close the valve from a remote position if the connection is leaking.				
5.1.3	Is a DIN 80 PN 10 flange available between the outlet valve and the cap of every (un)loading connection?	See section 12.3 of the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles"				
5.2.	Equipment Inspection, Maintenance and Calibration	Equipment Inspection, Maintenance and Calibration				
		A quality Transport Service should only use reliable equipment. This section seeks to ensure that effective routine inspection and maintenance programmes are in place, which requires that equipment (owned or leased) is adequately serviced, lubricated, adjusted, and otherwise maintained, to prevent abnormal wear and tear, and to detect defects before they cause accidents or breakdowns. In quality Transport Service companies, abnormal wear, accidental damage and abuse detected through preventive inspections will be investigated. Controls over subcontracted equipment are covered in section 5.3.1. on Subcontracting Services. Repair and replacement costs, associated with this abnormal wear, etc, will be recorded and analysed as loss data and will require similar remedial and follow up actions as for other accidental losses. Results from preventive inspections should be adopted in the regular maintenance programme. This also applies to those instances whereby preventive inspection and/or maintenance are being outsourced. It is expected that in this case the haulage company will have a follow up system in place.				
5.2.1.	**Statutory Inspection**	**Statutory Inspection**				
5.2.1.1.	Is there documentary evidence that statutory inspections of tractor units and tanks/tank containers/trailers have been carried out?	The assessor should take a random sample of the records and examine these in detail.				
5.2.2.	**Equipment Inspection and Maintenance**	**Equipment Inspection and Maintenance**				
		Maintenance should be carried out on all moving equipment. This must be seenas separate from the regulatory inspection of the vehicle. There should be a program developed, installed and documented. Findings from the regular maintenance should be included in the inspection programme and vice versa.				
5.2.2.1.	Is there a documented programme for preventive inspection and maintenance covering the following items	Score a "Yes" for each item that is included in the programme and is serviced in accordance with that programme, and which can be confirmed from records. Twist locks are applicable to the carriage of swap bodies, tank containers and other containerised traffic. If maintenance has been outsourced, the company has to have a detailed follow up system to ensure that maintenance is undertaken according to agreed specifications.				
5.2.2.1a	- tractor units ?	No guidelines	x	x		
5.2.2.1b	- trailers ?	No guidelines	x	x		
5.2.2.1c	- tanks/tank containers ?	No guidelines		x		
5.2.2.1d	- pumps ?	No guidelines		x		
5.2.2.1e	- compressors ?	No guidelines				
5.2.2.1f	- tyres ?	No guidelines				
5.2.2.1g	- earthing points ?	No guidelines				
5.2.2.1h	- twist locks ?	No guidelines				
5.2.2.1i	- cargo securing devices and materials ?	Load securing devices like anti-slip material, lashes. Materials such as fixed lashing eyes, trailer floors, curtains, side planks etc.				
5.2.2.1j	- ADR equipment?	Drain seals, eye wash bottles, ... according 8.1.5. ADR		x		
5.2.2.1k	- valves and relief valves ?	No guidelines				

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5.2.2.1l	- couplings ?	No guidelines				
5.2.2.1m	- gaskets/seals ?	No guidelines				
5.2.2.1n	- gauges ?	Pressure, temperature, level gauges				
5.2.2.1o	- temperature control units?	To accurately control the temperature of a temperature controlled unit without extensive operator involvement, a temperature control system relies upon a controller, which accepts a temperature sensor such as a thermocouple or RTD as input. It compares the actual temperature to the desired control temperature, or set point, and provides an output to a control element. These units can be mounted on reefers, tanks, coolers both cooled and heated.				
5.2.2.2.	Is there a procedure and register in place for the periodic (at least annual) testing of flexible hoses, which includes the following elements :	This question applies both to liquid and dry bulk unloading hoses Flexible hoses are critical equipment, as hose breaks could cause severe health and environmental damage. All hoses should be uniquely identified, labelled and inventoried in a database to facilitate a maintenance/testing programme and follow-up. Verify the testing procedure and score a "Yes" for each element reflected in the written procedure. Check also that this is implemented.				
5.2.2.2a	- compatibility of the hose and cargo ?	No guidelines				
5.2.2.2b	- identification of different types and numbering ?	No guidelines				
5.2.2.2c	- periodic inspection and recording of results ?	No guidelines			x	
5.2.2.2d	- periodic pressure testing ?	Backed up by specifications of the hoses used and other industry publications.			x	
5.2.2.2e	- electrical continuity?	Assessor should check the electrical continuity requirements as mentioned by the assessed company, either in a procedure or on the certificates in use, and be able to trace this requirement to a company decision, e.g. based on industry publications. A good indication is that the hoses should not have a resistance higher than 0.75 ohms/metre measured between nipples (end flange to end flange).			x	
5.2.3.	**Defect rectification**	**Defect rectification**				
5.2.3.1.	Is there a documented defect reporting and rectification system in place for all equipment, which includes the required follow-up?	Check if a defect reporting procedure is in place in the drivers manual. Check for evidence that the defect reports raised are followed up, both by checking the completed reports held on file in the workshop and during interviews with drivers.				
5.2.4.	**Identification and Calibration of Measuring Equipment**	**Identification and Calibration of Measuring Equipment**				
5.2.4.1.	Has the assessed company a register of measuring equipment to be calibrated?	Look for a register of measuring equipment based on the general risk assessment e.g. equipment for work in confined spaces. EN 482/1994				
5.2.4.2.	Are calibration procedures and records in place, including the identification of all measuring equipment ?	Calibration, if performed in-house, should be undertaken by persons who have been properly trained and are working to verified procedures. Alternatively, calibration may be undertaken by a qualified contractor certificated to national standards. In the latter case, a formal agreement specifying the requirement for, and the frequency of, calibration should exist between the haulier and the calibration contractor. Ask to see a copy of the procedures and a list of all the items identified for calibration.				
5.2.4.3.	Is calibration carried out in accordance with legislation, for the following critical equipment, when applicable :	Score a "yes" for each item covered. Score 'NA' only if the activity is not performed at the assessed operations				
5.2.4.3a	- oxygen meters ?	Calibration and justification of gas detectors for oxygen is regulated by the directive 94/9/EC. Also the European norm EN 60079-29-2 "Explosive atmospheres - Part 29-2: Gas detectors - Selection, installation, use and maintenance of detectors for flammable gases and oxygen" should be taken into account. Auto-calibration is a possibility.				
5.2.4.3b	- flammable gas detectors ?	Calibration and justification of gas detectors for oxygen is regulated by the directive 94/9/EC. Also the European norm EN 60079-29-2 "Explosive atmospheres - Part 29-2: Gas detectors - Selection, installation, use and maintenance of detectors for flammable gases and oxygen" should be taken into account. Auto-calibration is a possibility.				
5.2.4.3c	- instruments for measuring concentrations of toxic gases and vapours ?	If there is a danger of being overcome by toxic gases and vapours, such instruments should be present. Several of these devices comprise measurement tubes that can not be calibrated. In such cases, check the expiration dates Refer to EN 45544				
5.2.4.3d	- temperature gauges ?	Only applicable for these temperature gauges that have to measure an exact temperature. Not applicable for indicative devices.				
5.2.4.3e	- tyre pressure gauges ?	If the company is doing their own tyre management, this device has to be present. If it is subcontracted proof that the devices of the contractor are calibrated has to be present.				
5.2.4.3f	- torque wrenches for tightening wheel nuts ?	If the company is doing their own tyre management, this device has to be present. If it is subcontracted proof that the devices of the contractor are calibrated has to be present.				
5.3.	Purchase and maintenance of equipment by Logistics Partners	Purchase and maintenance of equipment by Logistics Partners				
5.3.1.	Does the company have evidence that selected subcontractors have a programme in place that their vehicles/tanks/trailers/containers and their fittings are serviced on a regular basis and meet statutory requirements?	Look for evidence from assessments and visit reports. Statutory requirements should always be identified and checked. Auxiliary items as mentioned in 5.1. are only mandatory for fully integrated subcontractors.	x			
6	**Behaviour Based Safety (BBS or equivalent programme)**	**Behaviour Based Safety (BBS or equivalent programme)**				
6.1.	Behaviour Based Safety for safe driving	Behaviour Based Safety for safe driving				
		BBS guidelines for driving exist (Cefic/ECTA "Behaviour Based Safety Guidelines for training of drivers and safe driving of road freight vehicles")				
6.1.1.	**BBS Training for Safe Driving**	**BBS Training for Safe Driving**				
6.1.1.1.	Is BBS taken into account when reviewing the training requirements of managers and planners ?	Although mainly focused on the drivers, BBS must be fully integrated in the carrier's organization and become an integral part of the company's culture. Not only drivers but also ancillary and administrative staff, should be trained in, and understand the principles of, BBS. Look for training records and awareness.				

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6.1.1.2.	Have persons been formally selected and designated as qualified BBS trainers, in accordance with the requirements as defined in the Cefic/ECTA BBS guidelines ?	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 drivers. Ask for trainer history and both previous and current positions. Besides being an experienced and respected driver (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 BBS 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. Try to find out if the institute's programme is in line with the BBS guidelines. Check if the BBS trainer meets all the requirements as described in the BBS guidelines.				
6.1.1.3.	Has the BBS driver training content (or equivalent system) and format (based on observation, coaching and interactive communication) been developed and is it in line with the Cefic/ECTA BBS guidelines?	Check if the training content and format reflect the spirit of the BBS guidelines (or equivalent system) i.e. are carried out on a one-to-one basis between the trainer and the driver, with the trainer observing and coaching whilst addressing the behavioural driving skills of the driver.		x		
6.1.1.4.	Has the BBS driver training frequency been defined and is it implemented ?	Check the training plan and its implementation by interviewing drivers. The frequency may vary between once every 1 to 5 years, depending on the annual performance review of each individual driver. The BBS training can be combined with the training as described in EUDirective 2003/59/EC.				
6.1.1.5.	Is a personal BBS-record kept on each driver, including the fully integrated subcontractors, with the observations made on their behavioural skills ?	Check the training records. Any person employed 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 (drivers).	x			
6.1.2.	**BBS Results, Analysis and Monitoring**	**BBS Results, Analysis and Monitoring**				
6.1.2.1.	Are individual results from the BBS training communicated to the driver, preventive actions agreed, recorded and followed-up ?	Check the training and individual driver records. Ask drivers (and integrated subcontractors) if they are informed about the outcome of their BBS training and the follow up from it.		x		
6.1.2.2.	Are key performance indicators identified and measured, such as :	The ASSESSED company should ensure that the annual data collection of the KPI's and reporting is incorporated into their management system. (The ECTA R C programme and KPI reporting could be the reference point for companies to use) For KPI analysis purposes assume that each employee works 2000 hours per working year				
6.1.2.2a	- accidents and incidents whilst in transit?	Check the training programme and the individual driver records,				
6.1.2.2b	- accidents and incidents at loading points?	Check the training programme and the individual driver records,				
6.1.2.2c	- accidents and incidents at unloading points?	Check the training programme and the individual driver records,				
6.1.2.2d	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 kilometres operated. Example: A company had 5 lost time injury (LTI) incidents in one year. The number of kilometres operated were 10 million. The Lost Time injury Rate will be: 5 lost time injury accidents / 10 million kilometres operated = 0.5 LTI / million Km. The Personal Injury Rate should be measured by transport companies for their own employees and their contractors' drivers (FIS)				
6.1.2.2e	Personal Injury Rate?	Personal Injury refers to the occurrence of workplace incidents that resulted in any injury to the employee. Personal Injury rate refers to the number of such injuries that occur within a year and per 1 million km operated. The Personal Injury Rate should be measured by transport companies for their own employees and their contractors' drivers (FIS) per 1 million kms operated				
6.1.2.2f	Average days of training per year?	This KPI should be measured for own employees, (drivers and office staff) and sub contracted drivers (fully integrated). This KPI measures the number of training days per driver/office staff per year. See ECTA reporting requirements if clarification is required. This KPI allows the LSP to express the impact of investments in training.				
6.1.2.2g	- fuel consumption per ton per km ?	This is related to individual driver records, if applicable. Dedicated transports should be considered separately, since often return freights are not possible.				
6.1.2.2h	- damages ?	For fully integrated subcontractors the assessor has to check if a process is in place and if files are available and include a follow-up.				
6.1.2.3	Is an implementation programme in place for the observation and spot checking of drivers in relation to the performance of the driver?	Check if any of the mechanisms referred in the "Behaviour Based Safety Guidelines for training of drivers and safe driving of road freight vehicles" (item 10), or equivalent system, have been implemented				
6.1.2.4.	Are the results and learning outcome's from BBS reflected in the refresher programmes ?	Check that the overall results and trends as identified in 6.2.2.3. are documented as learning experience and included in the refresher training.			x	
6.2.	Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles	-Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles				
6.2.1.	Has the management also adopted the Cefic/ECTA guidelines on "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles"?	Check a project file for a documented implementation plan and up to date status. Check whether observations/results reported by Loading/Unloading sites and/or drivers are filed, reported to drivers/customers, analysed and used by the carrier to trigger corrections and improvements.		x		
6.3.	Awareness of all service partners	Awareness of all service partners				
6.3.1.	Does the company promote and monitor the implementation of the following BBS principles with its service partners :	Active promotion towards all service providers should be present. This can be included in the written agreement, in the training or information sessions with the service providers, or by means of other communication tools. Promoting BBS is important, but monitoring the follow-up is even more important. Means of monitoring can include that the company stays informed about the number of BBS introduced at the service provider, providing the BBS (for integrated subcontractors), or yearly evaluation.				
6.3.1.a	- driving?	No guidelines				
6.3.1.b	- loading?	No guidelines				
6.3.1.c	- unloading?	No guidelines				
6.3.1.d	- cleaning?	No guidelines				
7	**Security**	**Security**				

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7.1.	Security in transport	Security in transport				
7.1.1.	Has the company developed security provisions regarding its distribution of transport information ?	Logistics information must be protected and secured within the IT systems. Check that IT systems are secured appropriately. An additional option is to include a Secrecy Clause in the employment contract which is filed in the Human Resource Department.		x		
7.1.2.	Does the company implement measures to ensure the security of the products and transport information throughout the chain of its service partners, including at :	Check contracts with service partners for security clauses, requirements, and approved supplier lists.				
7.1.2a	depots and vehicle parking?	No guidelines				
7.1.2b	- cleaning stations ?	No guidelines			x	
7.1.2c	- at the interface with any subcontracted road transport company ?	No guidelines				
7.1.2d	- at the interface with intermodal transport?	No guidelines			x	
7.1.3.	Is the handover/transfer of security, with the associated responsibilities, signed and documented ?	Check for documented evidence. As an example an EIR (Equipment Interchange Receipt) could be used.				
7.1.4.	Does each crew member of a vehicle carry with them means of identification, which includes their photograph, during carriage ?	This could be a passport, (ADR) drivers license or identification card, depending on the related country or route. This has to be checked during the interviews with the drivers.				
7.1.5.	Are devices, equipment or arrangements to prevent the theft of vehicles applied and are measures taken to ensure that these are operational and effective at all times ?	Check the type of anti theft devices, equipment or arrangements and their effectiveness in practice.				
7.1.6.	Are truck cabs fitted with access control systems ?	Unauthorised truck cabin access must be detected and an alarm system activated to notify the driver.				
7.1.7.	Are trucks fitted with an engine-starting control system ?	Trucks must be fitted with engine-starting electronic blocking system (sometimes called an immobilizer).				
7.1.8.	Are trailers fitted with a locking fifth wheel ?	Check the fifth wheel locking system of the trailer coupling.				
7.1.9.	Are decoupled hanger trailers fitted with a locking trailer eye?	To prevent the theft of a decoupled hanger trailer, the trailer eye can be provided with a lock.				
7.2.	Security during handling of Highly Consequence Dangerous Goods	Security during handling of Highly Consequence Dangerous Goods				
		If the LSP has no HCDG chapter 7.2 have to be scored with n.a.				
7.2.1.	Has a security plan been developed and implemented for High Consequence Dangerous Goods (HCDG) in accordance with section 1.10 of ADR ?	Check the main content of ADR section 1.10 and check if the index page of the security plan contains all the necessary chapters. Consult the INDUSTRY GUIDELINES FOR THE SECURITY OF THE TRANSPORT OF DANGEROUS GOODS BY ROAD: http://www.cefic.org/Documents/IndustrySupport/Transport-and-Logistics/Best%20Practice%20Guidelines%20-%20General%20Guidelines/Guidelines-for%20the security-of-the-transport-of-dangerous-goods-by-road.pdf		x		
7.2.2.	Best practices for transport security of HCDG : Does the company have measures to monitor the movement of HCDG whilst in transit ?	Devices for tracking and tracing HCDG while in transit include GPS monitoring, periodical call-in instructions, internet connection, etc.				
7.2.3.	Are all fully loaded freight containers, tank containers, truckload and railcars containing HCDGs, sealed and the seal numbers provided separately (electronically or on paper) ?	Check the practices on sealing through interviewing drivers and verifying the instructions. Look for a sealing procedure and the unique numbered seals to be recorded on transport documentation.				
7.2.4.	Are seal discrepancies for HCDG investigated thoroughly, the shipment rejected if necessary, security personnel notified and extreme care taken if there is evidence of seal tampering ?	Reporting system for seal discrepancies must be in place, including the investigation and follow-up.				
7.2.5.	Are drivers (own and FIS) required to call-in periodically ?	Check instructions on call-in in the driver's handbook and check actual practice by interviews with drivers. Check the periodicity in relation to product/kind of transport/ country, which should be at least after every long period at a stand-still.				
8	**Operating Procedures and Customer Interface**	**Operating Procedures and Customer Interface**				
8.1.	Emergency response	Emergency response				
8.1.1.	Is there a written plan for dealing with off-site emergencies ?	The written emergency plan should cover all the items listed in 8.1.2. 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 plan should cover off-site emergencies. The emergency response plan should also contain any customer specific contacts on a 24/7 basis. This question is also applicable for service providers that only subcontract other companies. The service provider can forward the requirements to their subcontractors, but it is their responsibility to test or check whether their subcontractors are able to deal with emergencies as defined. The assessor should look for a written plan detailing the response by the company (or a contracted company) similar to ICE Level 3 response. This EMR Plan must be able to cater for the recovery of damaged equipment, recovery of product and recovery of contaminated land / water to restore the status quo. The plan should also detail actions for (a) recovery of equipment (b) recovery of product (c) recovery of contaminated land/water. This service may be undertaken by an external 3rd party emergency responder who has been formally appointed.		x		
8.1.2.	Does this written plan contain the following information :	No guidelines				
8.1.2.a	- individual responsibilities ?	The assessor should check that the responsibilities from top management down to the Incident supervisor are clearly defined, this being to assist with clear lines of demarcation and reporting.				
8.1.2.b	- arrangements for 24/7 hours coverage by trained responders ?	The assessor should ask for a register of Incident supervisors and what method is used to obtain 24/7 coverage. Questions should then be asked of the incident supervisors on-site as to 24/7 coverage and the receipt by them of the schedule for 24/7 coverage.				
8.1.2.c	- 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.				
8.1.3.	Has there been a comprehensive test of the emergency plan for off-site emergencies during the past 12 months ?	Evidence of a practical exercise to test the system for off-site emergencies during the last 12 months is required. Such an exercise may be limited to the testing of the emergency communication system and the actions to be taken on-site to deal with an off-site incident (it is not required to do a simulation of an off-site emergency). A detailed evaluation report of a real off-site incident during the last twelve months would also meet the requirements of this question.				

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Item N°	**Question**	**Guideline**				
		A possible test can be : Phone a driver, he should search for a parking area and call back. Then interview with a particular checklist a) explain to driver what has happened, like a valve is leaking b) ask driver what he has to do c) compare with the checklist c) conclusion, what was missing, plan for improvement e.g. training, date, signature				
8.2.	Customer Interface	Customer Interface				
8.2.1.	Do you have confirmation from the chemical customer to effect a safe collection/delivery? This should include as a minimum :	Confirmation can be given in a general contract, in the individual order, in an information document concerning the (un)loading point,.... Randomly select from an order list, or transport planning list some operations and check				
8.2.1.a	- the latest version of SDS/instructions in writing?	SDS of all products	x			
8.2.1.b	- site access requirements including PPE?	Opening hours, vehicle restrictions, ..	x			
8.2.1.c	- the split of responsibilities agreed between driver and operators at (un)loading site (BBS loading/unloading) ?	BBS loading/unloading guideline has to be explained and considered when answering this question, specifically driver not to be involved in sample taking.	x			
8.2.1.d	- handing in the ECD document?	No guidelines	x			
8.2.1.e	- making the connection between the road tank and the (un)loading point ?	This question refers to who is doing what in the operational job of making the connection between the road tank and the (un)loading tank. Refer to "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles"	x		x	
8.2.1.f	- checking the leakproofness of the closing devices after (un)loading ?	No guidelines				
8.2.1.g	- the documents accompanying the (un)loading process (before/during/after) ?	Detailed information about documents needed at the different stages can be applicable.				
8.2.1.h	- equipment requirements?	Length of hoses, type of hoses, compressors, pumps, ..				
8.2.1.i	- cargo securing ?	Look for customer instructions on cargo securing for specific cargo			x	
8.2.2.	Are the topics of 8.2.1. adequately communicated to the applicable staff?	There can be clear instructions between the customer and the service provider, but without a proper communication to all applicable staff (planners, drivers, operators, ..) those are of no value. Interview all applicable internal staff.	x			
8.2.3.	Is there a written proof of the management commitment to support the driver according to the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles "	This can be added in the drivers handbook or as a separate instruction but this has to backed up by driver interview based on non conformances on sites.	x			
9	**Order Process and Operations**	**Order Process and Operations**				
9.1.	Planning and Communication	Planning and Communication				
9.1.1.	**Order Planning and Processing**	**Order Planning and Processing**				
9.1.1.1.	Is there a written procedure for transport order processing and vehicle scheduling ?	The assessor should review the documented procedures and give a positive score if he/she judges that the key elements are covered, e.g. truck maintenance schedules are not conflicting with order execution schedules. Check if an instruction or procedure is in place between the maintenance workshop and the planning department.				
9.1.1.2.	Does the planning section communicate relevant information and instructions to the driver/subcontractor, including, but not limited to :	To score a "Yes" the checklist needs only to include details specific to the particular delivery, not covered by other general instructions.				
9.1.1.2a	the hazardous nature of the material ?	No guidelines		x		
9.1.1.2b	- route criteria (including approved parking locations, tunnel codes) ?	Based on route risk assessment				
9.1.1.2c	- additional national transport regulations in other countries (for international transport) ?	No guidelines				
9.1.1.2d	- consignor/consignee details ?	No guidelines				
9.1.1.2e	- product compatibility (multi loads) ?	No guidelines				
9.1.1.2f	- product compatibility (previous loads) ?	No guidelines				
9.1.1.2g	- customer specific HSE requirements?	These can be communicated by the consigner/consignee but also through experience of previous (un)loading operations.				
9.1.1.3.	Does the company have, for all journey's exceeding 4,5 driving hours, a Journey Risk Assessment system in place that supports the driver to manage his journey, via a documented Journey Plan that contains the authorised route, known route hazards, safe and secure vehicle parking and authorised rest stops?	A Journey Risk Assessment (JRA) system will provide the drivers with a Journey Plan (some companies can refer it as a "journey management plan") including the authorised route and authorised rest stops, known route hazards and safe and secure vehicle parking. The driver shall receive the Journey Plan prior to departure for selected journeys. The selection shall be based on risk assessment but shall include at least all journeys that exceed 4,5 driving hours. Journey Plans are based on a journey risk assessment. For a specific journey, the risk assessment should take into account the safety and security aspects mentioned before and be based on product hazards and product value. (Refer to Cefic "Guidance on Safety Risk assessment for Chemical Transport Operations") The assessor shall check - with drivers: if the Journey Plan review is part of the journey preparation routine. (Refer to: CEFIC ECTA "BBS Guidelines for training of drivers and safe driving of road freight vehicles"). - with drivers: if a system is in place for drivers to report any changes to the Journey Plan arising from the journey. - with planning/dispatch: for evidence that the JRA system is updated with reported changes.	x			
9.1.1.4.	Are there procedures in place to ensure that the maximum allowable weight in the various countries is not exceeded?	Check for a procedure to ensure that the driver is aware of the correct loading pattern to be sure that the maximum weights in various countries are not exceeded. Look for a document with maximum allowable weights in the various countries, taking also exceptions for the intermodal legs into consideration.				
9.1.1.5.	Is there a procedure in place to ensure that when drivers are requested by consignors or consignees to draw a sample from the top of the vessel that feedback is initiated to the consignor and that this communication has been followed up?	Taking samples from the top of the vessel is an activity that should be done by operators from the consignee or specialised companies. Refer to the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles" . Drivers should report when they are requested to take samples and the organisation should cascade this information to the consignor.		x		

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9.1.1.6.	Is there a procedure in place to ensure that when drivers are requested by consignors or consignees to work on top of the vessel and no (proper) fall protection is available that feedback is initiated to the consignor and that this communication has been followed up?	Working on top of a vessel is a dangerous activity that should be avoided at all times. If necessary this work has to be done with proper fall protection preferably collective or with an individual fall protection hooked on a certified hooking point with a lanyard.Refer to the "Best practice guidelines for safe working at height in the chemical logistics supply chain" http://www.cefic.org/Industry-support/Transport--logistics/Best-Practice-Guidelines1/General-Guidelines-/		x		
9.1.1.7.	Is there a procedure in place to ensure that, when drivers are requested by consignors or consignees, to discharge a bulk truck or container directly into Drums or IBC's, that feedback is initiated to the consignor and that this communication has been followed up?	To unload into drums or IBCs safely, a fixed drumming or IBC filling installation must be available. 'Fixed' means that an installation is equipped with a fixed discharge connection, is sited in an area with the required explosion/safety zoning and is in line with the appropriate technical requirements.		x		
9.1.2.	**Order instructions for multimodal shipments**	**Order instructions for multimodal shipments**				
9.1.2.1.	Do you receive and forward to all of your supply chain partners all the necessary instructions for multimodal shipments?	It has to be guaranteed that all necessary instructions for multimodal shipments are received and evaluated by the company. Also this information has to be forwarded to all supply chain partners. If the company has no direct contact with companies in this supply chain, a control mechanism to guarantee the cascading of the information has to be present.				
9.1.3.	**Tank Cleaning**	**Tank Cleaning**				
9.1.3.1.	Have all cleaning stations of tankers/tank containers been assessed against SQAS for Cleaning Stations (or equivalent assessment system) ?	There must be evidence of a list of approved cleaning stations. This approved list should contain only current, SQAS assessed stations for each location (or equivalent). Evidence must be available that the company has made an evaluation of the SQAS assessment reports and has confirmed that, against their company criteria, the cleaning station has achieved a satisfactory result. If the company operates their own cleaning facilities these must also have a current SQAS assessment (or equivalent).		x		
9.1.3.2.	Has the company analysed the assessment reports of the cleaning stations used and agreed an improvement action plan, with defined responsibilities ?	Where there are deficiencies against the company criteria, there should be a written agreed improvement plan. There must be evidence that the company is following up on these action plans.		x		
9.1.3.3.	Is it ensured that all the cleaning stations used have permits for the products cleaned ?	Evidence must be available that, where legally required, the cleaning stations have the necessary permits for the groups/types of products handled.		x		
9.1.3.4.	Is there evidence that relevant information about the previous load is provided to the cleaning station as a formal order?	This can be: a) a process description in the driver manual that the driver has to show the CMR to the cleaning station. b) an e-Mail, fax or EDI with corresponding information which has been sent from the office of the LSP to the TCL station. Ref SQAS TCL				
9.2.	Operations	Operations				
9.2.1.	**Driver instructions (Driver Manual)**	**Driver instructions (Driver Manual)**				
9.2.1.1.	Is there a drivers manual that is distributed to all drivers (own and FIS) in a language they can understand ?	Check if a drivers manual is available and is distributed to all drivers (and fully integrated subcontractors) in a language they can understand. Make a random check by asking a number of drivers (including FIS) if the manual is present in the drivers' cabin. Check for evidence that document control procedures have been followed. Check if the drivers have received training. Examine selected instructions to check that the details are up-to-date. The score is "No" if significant details are out of date.				
9.2.1.2.	Have drivers (own and FIS) been trained in the content of the drivers manual ?	Check training records and interview drivers. This can be done on an individual or group training.				
9.2.1.3.	Is the drivers manual updated regularly ?	Check that the drivers manual is up-to-date by checking references to updates in ADR and/or other applicable legislation and developments. This requires a minimum of an update every two years.				
9.2.1.4.	Is a driver manual available that contains detailed instructions regarding:	Scores a "Yes" for each listed item for which an instruction exists that covers critical SHEQ&Sec aspects.				
9.2.1.4.a	- BBS principles?	Both for safe driving and for safe loading/unloading				
9.2.1.4.b	- incident reporting?	It has to be mentioned clearly how incidents and near misses (next question) should be reported within the company. These events could be related to all situations that the driver encounters.				
9.2.1.4.c	- near miss reporting?	No guidelines				
9.2.1.4d	- use of seat belt ?	Seat belts should always be worn when moving				
9.2.1.4e	- use of mobile phone ?	No mobile communication should be possible when moving.				
9.2.1.4f	- use of drugs and alcohol ?	Prohibition of alcohol and drugs. During service the management of prescribed medication has to be defined, as well.				
9.2.1.4g	- actions to be taken in an emergency ?	No guidelines				
9.2.1.4h	- security ?	No guidelines				
9.2.1.4i	- inspection prior to loading ?	No guidelines				
9.2.1.4j	- loading procedures ?	No guidelines				
9.2.1.4k	- verification that all prescribed documentation, including the instructions in writing for drivers, is on boardthe transport unit ?	No guidelines				
9.2.1.4l	- verification of the presence of all the (safety) equipment as required by legislation and the prescribed instructions in writing for the drivers (ADR goods) ?	No guidelines				
9.2.1.4m	- after loading, verification that vehicle and loads have no obvious defects, leakages, cracks, missing equipment ?	No guidelines				
9.2.1.4n	- after loading, verification that the vehicles are not overloaded ?	No guidelines				
9.2.1.4o	- after loading, verification that danger labels and markings (orange plates) prescribed for the vehicles, have been affixed (ADR and IMDG goods) ?	No guidelines				
9.2.1.4p	- operating/driving restrictions during bad weather conditions ?	No guidelines				
9.2.1.4q	- actions to be taken if, during the journey, an infringement which could jeopardize the safety of the transport, is observed (ADR goods) ?	No guidelines				
9.2.1.4r	- unloading procedures ?	No guidelines				

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Item N°	**Question**	**Guideline**				
9.2.1.4s	- observation of instructions/practices at loading and unloading sites and reporting of unsafe conditions ?	E.g. working at height, (no) entry into confined spaces, sampling practices. See also questions 9.1.1.5 and 9.1.1.6.				
9.2.1.4t	- use of wheel chocks (to avoid uncontrolled vehicle movement) ?	No guidelines				
9.2.1.4u	- pre-start checklist?	It has to be made clear that a pre-start checklist has to be completed before the start of each journey.(Computer based or hard copy)				
9.2.1.4v	- the use of standard PPE ?	No guidelines				
9.2.1.4w	- fall arrest harness?	This is only non applicable if no work at height is ever required. For bulk liquid, bulk solids and intermodal activities this is always applicable.				
9.2.1.4x	- PPE for specific products?	This is only applicable if after conducting a risk assessment based on the SDS such PPE is required. Additional drivers instructions will be issued in a controlled manner.				
9.2.1.4y	- entry into confined space?	The driver is not permitted to enter into confined spaces (tank, silo, ..)				
9.2.1.5.	Does the drivers manual contain, in addition, specific detailed instructions for BULK GOODS, regarding :	Scores a "Yes" for each listed item for which an instruction exists that covers critical SHEQ&Sec aspects.				
9.2.1.5a	- visual inspection of tanks, valves and hoses for cleanliness ?	External tank cleanliness should be considered and also a visual inspection of the internal tank cleanliness from a safe external position.				
9.2.1.5b	- correct hose connection and valve operation ?	No guidelines				
9.2.1.5c	- correct operation of any transfer equipment ?	No guidelines				
9.2.1.5d	- equipotential electrostatic bonding/earthing ?	No guidelines				
9.2.1.5e	- the use of correct equipment to tighten couplings?	The use of non-sparking equipment is demanded. Extensions on tightening equipment should not be used because this can cause overtightness and damage to the couplings.				
9.2.1.6.	Is there a check on gaskets and seals prior to use?	The driver has to verify if all gaskets and seals are still in a (visually) good state.				
9.2.1.7.	Does the drivers manual contain, in addition, specific detailed instructions for PACKAGED GOODS, regarding :	Scores a "Yes" for each listed item for which an instruction exists that covers critical SHEQ&Sec aspects.				
9.2.1.7a	- inspection of the cargo compartment for cleanliness and potential risks (e.g. nails) ?	No guidelines				
9.2.1.7b	- stowage and cargo securing ?	Do the instructions cover the preferred method for securing palleted items, octabins or bags and does it also specify the use of dunnage?. See the "Guidelines for Transport Equipment used for chemical packed cargo" and, if applicable, the "IMO/ILO/UNECE Code of Practice for packing of Cargo Transport Units"				
9.2.1.7c	- product compatibility and segregation ?	ADR chapter 7.5.				
9.2.2.	**Pre-Start Checks**	**Pre-Start Checks**				
9.2.2.1.	Are at least the following checks included in the pre-start checklist :	Check if each of the following items have been covered in the checklist and that the records are systematically documented. Interview both own drivers and FIS drivers on this pre-start routine to confirm the check is done thoroughly. If time allows, ask a driver to carry out the vehicle check to verify this routine. The following type of records are accepted: o Daily check list in hard copy with all items o Daily Truck Management System record showing explicitly all items o Daily Truck Management system record like "ready for service" click. To score positively, the request to fulfil the list has to be present in the driver's manual. If this system is used, score positively only the questions where the driver provides you with positive evidence that the task is done				
9.2.2.1a	- inspection of vehicle for damage ?	No guidelines				
9.2.2.1b	- lubricating oil level and pressure check ?	For modern trucks this is done automatically before ignition.				
9.2.2.1c	- brake operation ?	No guidelines				
9.2.2.1.d	- condition of tyres ?	No guidelines				
9.2.2.1.e	- lights ?	No guidelines				
9.2.2.1.f	- inspection of vehicle for leakage ?	Check for water, oil, diesel, product leaks.				
9.2.2.1.g	- tightness of wheel nuts ?	This should only be checked after tyre replacement. Driver to look for rust around the wheel nuts this would signify slackness and movement of the nuts.				
9.2.2.1.h	- fire extinguishers ?	In accordance with legal requirements and instructions in writing				
9.2.2.1.i	- PPE ?	In accordance with legal requirements and instructions in writing				
9.2.2.1.j	- Wheel chocks ?	No guidelines				
9.2.2.1.k	- eye wash bottles?	Regarding ADR 8.1.5.2.				
9.2.2.1.l	- drain cover and absorption material?	For drain cover refer ADR 8.1.5.3.				
9.2.2.1.m	- emergency remote controls on bottom valve?	The bottom valve of a tank can be shut down with a remote control system. This system has to be checked on its operability. The emergency shutdown operating system must affixed and operable				
9.2.2.2.	Are spot checks carried out to confirm that drivers are performing daily checks ?	These spot-checks have to be documented by the LSP. If discrepancies have been found the result of the discussion with the driver (Own and FIS) has to be documented.				
9.3.	Administration	Administration				
9.3.1.	**Controls of drivers**	**Controls of drivers**				
9.3.1.1.	Is the driver (own and FIS) required to keep and to sign a daily worksheet that includes that the vehicle is fit for purpose?	Check the files for a few drivers (own and FIS) and transport orders.				
9.3.1.2.	Is there a system that checks on the maximum allowable number of working hours/driver/week ?	There should be a system in place, which checks that the regulations regarding maximum allowable man hours/driver/week have been followed. The system should be capable of identifying and recording any non-conformances and reporting these to senior management for attention and corrective action as necessary. Check for the existence of such a system for own drivers and FIS. Reg (EU) 561/2006/EU				
9.3.1.3	Does the company have a system to restrict the driver's use of communication devices during moving (Including message sending, mobile phone, GPS)?	The system has to include the control on private and company provided mobiles. Where it is legal to do so, the company should have a documented system of comparing mobile phone records with tachographs to assess whether the phones are being used while the truck is in motion.				
9.3.2.	**Records**	**Records**				
9.3.2.1.	Are records of all transport orders (receipts and deliveries) kept, including :	Pick several deliveries at random. Score a "Yes" when each of the listed items has been adequately recorded for each delivery. Deviation from the customers' requirements for items listed in questions 9.3.2.1c-9.3.2.1e should be recorded and reported as an incident (see also the Cefic/ECTA/EPCA "Guidelines for Standardised Delivery Performance Measurement". Cefic website : http://www.cefic.org/Industry-support/Transport--logistics/Best-Practice-Guidelines1/General-Guidelines-/).				
9.3.2.1a	- order identification ?	No guidelines				

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9.3.2.1b	- vehicle/tank/container identification ?	No guidelines				
9.3.2.1c	- actual loading date, loading time and loading site ?	No guidelines				
9.3.2.1d	- quantity received and delivered ?	No guidelines				
9.3.2.1e	- actual delivery date, delivery time and delivery address ?	No guidelines				
9.4.	Temporary storage and internal transfer of packaged goods	Temporary storage and internal transfer of packaged goods				
		A company involved in the transport of packaged goods may transfer goods from one trailer to another trailer at its site, which may also include temporary storage. As such, this activity poses an additional risk which should be assessed. This is even more evident if dangerous goods are involved.				
9.4.1.	Does the company have a specific written procedure for the transfer and temporary storage of goods ?	Check if a written procedure is available for the transfer and temporary storage of goods.				
9.4.2.	Are all goods on site stored and segregated in accordance with the local legislation and segregated as per legal requirements ?	Compare stock list and actual storage with the operating permit.		x		
9.4.3.	Are the correct product details available during internal transfer and temporary storage ?	The assessor should look for normal shipment details, e.g. CMR or shipment notes. In cases when hazardous goods are involved the correct instructions in writing must be available and if storage is involved, the Safety Data Sheet (SDS) must be at hand.				
9.4.4.	Have the employees involved in the transfers of goods received appropriate training ?	As a minimum there should be training in the use of handling equipment (e.g. forklift trucks). If hazardous goods are involved they should also have received hazardous goods training as required by ADR. The assessor should verify participation lists, training contents and inthe case of dangerous goods also training certificates.				
9.4.5.	Do the employees involved in the transfer of goods have adequate personal protection ?	For standard handling operations, safety shoes and working gloves are adequate. If hazardous goods are involved the Personal Protective Equipment should be in accordance with the requirements of the instruction in writing or safety data sheet.				
9.4.6.	Is the transfer and temporary storage of liquid materials carried out in an area with an impervious surface ?	The question is only applicable if packed liquids (hazardous or non-hazardous) are handled.				
9.4.7.	Is the transfer of goods carried out by using adequate and safe equipment ?	This question scores positively if the equipment used for transfers will not pose a risk to the safety of the people involved and the product handled.				
9.4.8.	Is there a procedure for cargo securing according to the guidelines?	See Cefic/ECTA guidelines - European Standard EN 12195-1				
10	**Specific types of Transport Services and their activities**	**Specific types of Transport Services and their activities**				
10.1.	Transfer Terminal for Container/Vehicle operations	Transfer Terminal for Container/Vehicle operations				
		This section is only applicable when the SQAS assessment takes place at a Transfer Terminal. It is applicable to sites that transfer containers/vehicles between all modes of transport, i.e. road, rail, inland waterways, deep and short sea, and air. A sea terminal, covered by the CDI system, does not need to be covered here.				
10.1.1.	Does the terminal meet the customer's and/or the industry specific security requirements ?	Site access control should include as a minimum the physical check of the delivery documents against the order. The site entrance(s) should preferably be fitted with a gate normally kept in the closed position.				
10.1.2.	Does the terminal's rolling and lifting equipment meet the national legal requirements?	Check that the equipment is protected against malfunction and lifting excessive weights, and is fitted with warning lights/acoustic alarms during movement. Check that alarm signals are also used to warn for movement of trains. Machinery Directive 2006/42/EC				
10.1.3.	Is the terminal's rolling and lifting equipment equipped with safety locking devices ?	Check for protection against improper/unsecure lifting, e.g. no lifting is possible unless all four lifting points are securely engaged.				
10.1.4.	Is there a documented programme for preventive inspection and maintenance for cranes, rolling and lifting equipment?	Look for an inspection and maintenance programme requiring that equipment (owned or leased) is adequately serviced, adjusted and otherwise maintained to prevent abnormal wear and tear, and to detect defects before they cause accidents or breakdowns. Also check in practice.				
10.1.5.	Is there documentary evidence that statutory inspections of cranes, rolling and lifting equipment, have been carried out?	Look for an inspection programme and inspection certificates/records.				
10.1.6.	Is there a documented programme for the training of drivers/operators of cranes, rolling and lifting equipment ?	Check the training records of selected drivers/operators				
10.1.7.	Are cargo segregation guidelines in place and complied with ?	Check for procedures and verify at site.				
10.1.8.	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.				
10.1.9.	Are effective systems in place to ensure that no unauthorised persons are present in container handling areas ?	Look for effective systems; e.g. can the crane driver oversee everything (e.g. if his cabin is above the crane), are drivers asked to wait in a special waiting area/room?				
10.1.10	Is a maximum stack height of tankcontainers / containers defined in a procedure and enforced?	The assessor should seek the company 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/tankcontainers vary due to the equipment build configuration. A further point is that the stacking of both loaded and empty equipment creates different dynamics when confronted with weather changes e.g. wind. The information included in the CSC safety approval of the containers should be taken into account. There is a practice in most terminals of "pyramid" 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.		x		
10.1.11.	Are unaccompanied transferred units visually inspected for leaks and damage, both on arrival through the EIR (Equipment interchange Receipt) and at regular intervals when temporarily stored ?	Look for evidence in the form of procedures, checklists, EIR		x		
10.1.12	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.				
10.1.13	Is adequate spill containment equipment available on site, such as oversized drums and emergency containment ?	Examples of spill clean-up equipment include absorbent materials, shovels, drain covers, etc.				

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10.1.14	Is a 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, ...				
10.1.15	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 tankcontainer operator.				
10.1.16.	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.				
11	**Site Inspection and Site operations**	**Site Inspection and Site operations**				
11.1.	Site inspection	Site inspection				
11.1.1.	Is the site properly secured with fences and gates, well lit and not accessible to the general public ?	Check fences, gates and 24h lighting during your site visit. The first personal security impression is on arrival on the first day; are checks made on identification and person(s) being visited? When the assessed site is part of a public harbour, a comment should be provided when this requirement cannot be met. In this case, it is expected that the site will have a security plan according to the IMO's ISPS Code.				
11.1.2.	Is there a system to monitor the entry and movement of vehicles on site ?	Check the internal system that controls vehicle movements within the site. Double check the movement of people on the sites as asked by core question 2.4.1.				
11.1.3.	Are emergency exits marked on buildings and unblocked ?	Is it certain that people can evacuate buildings in a safe way in case of emergency? Two exits are vital to avoid people getting trapped. Directive 89/654/EEG				
11.1.4.	Are signs for site identification and public safety in place ?	The site boundary should be clearly defined and marked. Public warning/information signs should be in place to prevent unauthorised or accidental access.				
11.1.5.	In the event of an emergency, is there an assured method for safe evacuation of all personnel and is this publicly displayed ?	Emergency exits should be marked at the site perimeter. There should be an off-site assembly point, and a head-counting and reconciliation system.				
11.1.6.	Is the emergency assembly point clearly displayed?	Look for placards showing the assembly point and the way to reach it.				
11.1.7.	Are fire extinguishers marked with the inspection and maintenance data ?	Look for a clear official mark on several fire extinguishers. Try to follow the rhythm of these inspections by checking the previous marks.				
11.1.8.	Are the first aid posts clearly indicated, easily accessible and appropriately stocked to ensure prompt treatment ?	The assessor should check compliance with local legislation. The assessor should also spot check if the contents of the first aid kit are within the expiry date. Dir 92/58/EEC				
11.1.9.	Is there a site lighting system ?	The site lighting system should be such that all movements and operations can be controlled without restrictions and safety hazards.				
11.1.10	Is the site paved according to the requirements and the activities that are taking place ?	Check that all site surfaces where product/equipment handling and movement take place, are made of stable materials (bricks, concrete, asphalted, etc. to avoid holes that could cause safety hazards). Where hazardous liquids are handled the surface should be impervious.				
11.1.11	Is the condition of roadways and parking area of an acceptable and safe standard ?	The condition of the fences, gates, roadways, parking areas and buildings gives an indication on how seriously the site management is interested in quality and safe operation, and not only in commercial affairs. This is also important for the image of the company. Look, for example, at whether there are potholes or pools of water on the parking areas.				
11.1.12	Are there designated walkways away from truck traffic ?	Walkways prevent uncontrolled traffic flow on the site and protectpeople walking through the use of organised routes on the site. They should be marked out as a permanent feature.				
11.1.13	Is the site location suitable for vehicle access and is easy movement of trucks within the site guaranteed?	The access to the site should be such that no safety hazard is caused to other traffic (good visibility/no narrow streets). The traffic flow on the site should be logical, transparent and free flowing.				
11.1.14	If loaded trailers are parked at the site, are landing gear support pads used when there are weaknesses in the parking surface?	If the parking of loaded trailers on the site property is allowed, it should be done properly using support pads to prevent landing gear pushing through any weakness in the road surface and resulting in trailer tip-over.				
11.1.15	Is there sufficient fire fighting capability if storing/parking flammable chemicals on site ?	If flammable chemicals are stored/parked on the site, foam may be needed for fire fighting. This requires a stock of foam producing chemical and foam generating equipment. Check against the requirements laid down by the fire brigade (fire risk assessment).				
11.2.	Site operations	Site operations				
11.2.1.	Is there a documented programme for preventive inspection and maintenance covering the following items :	A programme should be present, the equipment should be serviced in accordance with that programme and this should be confirmed from records.				
11.2.1.a	- site compressed air system ?	No guidelines				
11.2.1.b	- site fire fighting equipment (extinguishers, etc.) ?	No guidelines				
11.2.1.c	- storage tanks (including fuel) ?	No guidelines				
11.2.1.d	electrical installation ?	No guidelines				
11.2.1.e	fall protection equipment?	No guidelines		x		
11.2.1.f	other equipment subject to regulatory requirements such as elevators, forklift trucks, hoisting equipment, emergency equipment and installations, ...?	No guidelines	x			
11.2.2.	Are there comprehensive procedures at the facility including work permit requirements, to ensure safety and to avoid exposure to hazardous materials, for the following operations :	Check for each work permit or procedure if the requirements are clearly identified. Check if the work permit system or procedures are implemented by : - checking the file of work permits of the last 12 months; - checking in detail a few recent work permits (are all the signatures and dates in place, is the necessary PPE listed,...); - checking if the requirements of the work permit procedures are understood by the responsible personnel; - checking the prime/back-up approval authority. The work permit procedures should apply to both work carried out by own personnel and work carried out by contractors (external company doing activities on the site other than logistic services) and should apply to work which is not part of the normal/principal activity in that area.				
11.2.2.a	- entry into confined spaces ?	Entry into confined spaces refers to entry into spaces where there is a risk of suffocation or poisoning by lack of ventilation (e.g. entry into tanks). This activity requires a Permit to Work system. Only N/A if no confined spaces are present at the site. Be sure that a watchman is present during the entry.		x		

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Item N°	**Question**	**Guideline**				
11.2.2.b	- breaking of containment (pumps/compressors/lines) ?	Breaking containment refers to dismantling pieces of equipment like pumps, valves, etc, which may contain product. This activity may be covered by an operating procedure with relevant training of staff.			x	
11.2.2.c	- hot work ?	Hot work refers to work involving the use of hot energy sources (e.g. welding). Depending on the area where the work is being undertaken (e.g. Flammable area) this may require a Permit to Work or, if away from flammable sources, an operating procedure may be sufficient.				
11.2.2.d	- work on electrical circuits/equipment (lock out system) ?	The auditor should check for a "Lock Out" Permit to Work system, required when working on high voltage electricity. (+1.000 volt).				
11.2.3.	Are there also comprehensive procedures / instructions at the facility for the following operations :	The auditor should look for operating procedures and training records of employees that cover the clean up and disposal of spillages, and also for vehicle segregation when incompatible products are being parked in the depot.				
11.2.3.a	- clean up and disposal of chemical spillages ?	Check documentation. This information might be derived from the Safety Data Sheet or from information provided by the manufacturers.				
11.2.3.b	- parking segregation for vehicles carrying different classes of hazardous product ?	This procedure should be in place at the site to ensure that large quantities of hazardous chemicals (in tank trucks) are not stored next to each other. This is to minimise the risk in the event of an emergency situation. In some cases this may be specified in the site environmental permit.				
11.2.3.c	- safe loading/unloading practices ?	Check process to ensure safe practices according to the Cefic/ECTA "Guidelines for the Safe Loading and Unloading of Road Freight Vehicles" or equivalent. Operators and/or drivers involved in the process should be trained and a procedure should be present.			x	
11.2.3.d	- cargo securing ?	Check whether comprehensive procedures are in place clearly defining all necessary work processes.				
11.3.	Maintenance workshop	Maintenance workshop				
11.3.1.	Does the maintenance shop area have emergency doors and are these kept clear at all times?	People should be able to escape from the maintenance workshop via defined emergency doors without being trapped in case of emergency. Open one exit to check if it is equipped with an alarm and not locked.				
11.3.2.	Are eyewash bottles and safety shower systems available in determined areas within the work area ?	Fixed safety and eyewash showers should always be installed in the immediate vicinity of working areas where there is potential for a spill. Injured people would not be able to find a remote installation. Check that showers are operational.				
11.3.3.	Are caution signs installed (no smoking, eye protection, helmet, etc.) ?	Caution signs serve to remind people of good practices. Pictograms are more useful than long text. It is important to show people that using safety equipment is in their own interest. The assessor and the management also have to follow these signs.				
11.3.4	Is a fall restraint system in place for workshop operators who carry out repair activities on top of tanks or (tank)containers?	The handrail of a tank/silo trailer is not considered to be sufficient protection		x		
11.4	Bulk Storage Tanks (Fuel, Fuelling area and Waste Storage)	Bulk Storage Tanks (Fuel, Fuelling area and Waste Storage)				
		Fuels includes what is required for the operation of the site and/or running of the fleet but excludes the intermediate bulk storage of chemicals on behalf of customers or for further distribution. The assessor should complete this section by means of a physical inspection and a check of the documented evidence (e.g. drawings, purchase specifications, license, inspection reports, certificates, etc.).				
11.4.1.	Are the storage facilities approved for the goods stored, identified/labelled accordingly, monitored and maintained?	Storage of goods in inadequate tanks can lead to serious accidents. Look for certificates showing the approval of the tanks used. Check labels on tanks and tubes, high level alarms, cathodic protection, bund capacity 110%, etc. Good maintenance includes the prevention of leakages, monitoring of these events, ...		x		
11.4.2.	Is explosion-proof equipment installed if handling flammables ?	The necessity for the installation of explosion-proof equipment is described in the ATEX regulation. Such activities should be undertaken in a segregated area.				
11.4.3.	Is an impervious floor in place at the fuelling area					
11.5	Vehicles and other equipment (trailers, tank containers, IBC's etc.)	Vehicles and other equipment (trailers, tank containers, IBC's etc.)				
		When operational vehicles/equipment are available on or near the site, the assessor must include a sample check of some equipment during the site inspection, and always document the references in the report, such that the reader has an idea of the type and number of vehicles that were checked				
11.5.1.	Are the following items on the vehicles and equipment of an acceptable standard :	At some stage during the assessment, the assessor should select at random two or more vehicles (depending on the size of the operated fleet) and check these vehicles against the items listed. If possible, this should be vehicles, which have just returned to the site after completing an order, so that the assessor can interview the driver as well as inspect the vehicle. Try to inspect another truck not prepared for the inspection. At the start of the assessment, the assessor should ask to be immediately notified when an incoming vehicle arrives at the site, so that at that stage the assessor can immediately direct his attention to interviewing the driver and inspecting the vehicle, before returning then to the remainder of the questionnaire. Under comments, the assessor should indicate the number of vehicles that were inspected during the assessment. This question is not applicable to companies that have neither own drivers nor FIS				
11.5.1.a	- condition of the tyres ?	Besides the general conditions, check the profile of the tyres used and the use of remoulded tyres.				
11.5.1.b	- documentation in the cab ?	Are all the required documents at hand and is the driver familiar with their contents?				
11.5.1.c	- condition of cargo securing devices ?	Check also the knowledge of the driver about load securing. Check nets, boards and dunnage and verify that sufficient straps/belts are used.				
12	**Handling practices of Food, Food contact Materials and Feed Products**	**Handling practices of Food, Food contact Materials and Feed Products**				
12.1.	**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 ?**				
12.1.1.	Are there GMP/GMP+/HACCP (or similar) principles as part of the quality system ?	Check if the quality manual, standard operation procedures and other documents contain chapters or parts with references to GMP/HACCP standards (or similar standards such as FEMAS (Flavour and Extract Manufacturers Association of the United States), FAMI/QS (European Feed Additives and 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 transports Feed products. Comment: The company has implemented the HACCP principles according to directive Reg 183/2005	x			

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12.1.2.	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.				
12.1.3.	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.				
12.2.	**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 ?**				
12.2.1.	Has the company a sufficient number of qualified employees for these operations ?	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.				
12.2.2.	Have all (including administrative) personnel, involved in the handling and distribution of Food, Food Contact Materials / Animal Feed products been made aware of the health risks.	All operational, technical and administrative personnel involved inthe handling and distribution of Food, Food Contact Materials and animal Feed products should be fully aware of the requirements of these guidelines, and be trained accordingly. Check training records.				
12.2.3.	Have all (including administrative) personnel, involved in handling and distribution of Food, Food Contact Materials/ Animal Feed products been formally qualified according to written criteria ?	Check qualification records. Also non-operational personnel (e.g. logistics, marketing, etc.) involved in the administration of the Food, Food Contact Materials / Animal Feed Products supply chain should have received a proper training focused on the sensitivity of the product applications.				
12.2.4.	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.				
12.3.	**Are traceability and product conformity issues sufficiently implemented in all processes ?**	**Are traceability and product conformity issues sufficiently implemented in all processes ?**				
12.3.1.	Is the company able to provide full traceability on product origin and its own operations ?	Traceability requires having a process in place for tracking the history of material from the manufacturer's final storage to the final delivery to customers by means of recorded identification. The entire distribution chain should provide a full traceability (via lot numbers etc.) in order to allow fast and efficient investigation of any quality issue and product recall when required. To be traceable, every delivery should be identified by the product name and a lot number, and should be accompanied by the appropriate shipping and quality documentation. The records should document all shipments of Food Contact products and be properly filed. These records should, as a minimum, identify by batch or lot where and to whom the product was shipped, the quantity, the carrier and the date of shipment.				
12.3.2.	Is the company able to provide full traceability on product destinations ?	See guidelines in question before				
12.4.	**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 ?**				
12.4.1.	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.				
12.4.2.	Is it ensured that contamination/cross contamination through transport equipment is prevented ?					
12.4.3.	Are banned lists for particular products available?	A similar question is already given in the standard questionnaires of SQAS TSand CL. However, in the GMP area, some official lists are available from associations. These lists should be used by the companies involved in the particular business sectors. For example, the FOSFA LIST OF BANNED IMMEDIATE PREVIOUS CARGOES which can be used for Food and IDTF for feed products.				
12.5.	**Are there appropriate precautions taken to avoid cross-contaminations and degradation during operations ?**	**Are there appropriate precautions taken to avoid cross-contaminations and degradation during operations ?**				
12.5.1.	Is the water and the disinfection products that comes into contact with the food, food contact materials / animal feed materials of a proven suitable quality?	Written records of equipment cleaning, maintenance and operations should be maintained. When the cleaning of equipment is necessary, for instance in the case of product change or maintenance activity, a documented cleaning procedure, validated for effectiveness, should be applied. The water and the disinfection products that are used for such cleaning activities should be of a proven suitable quality.				
12.5.2.	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.				
12.6.	**Are there adequate and appropriate hygiene measures maintained ?**	**Are there adequate and appropriate hygiene measures maintained ?**				
12.6.1.	Are sufficient hygiene measures documented, implemented, validated and maintained for personnel, cleaning, warehouses and transportation?	Hygiene measures are to be written into procedures, documents, and billboards, and be validated. These are to be communicated and followed by the personnel. Different measures could be present, depending on the level of hygiene needed/prescribed.				

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12.7.	**Are procedures in place for complaint handling, product recall and incident management?**	**Are procedures in place for complaint handling, product recall and incident management?**				
12.7.1.	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 smaller and major contamination including communication requirements.				
12.8.	**Are procedures in place for internal audits?**	**Are procedures in place for internal audits?**				
12.8.1.	Is there a documented plan for internal auditing of all areas, referenced to the GMP/GMP+ and HACCP questionnaire?	On-top of the regular internal audits all areas of thisquestionnaire are to be audited within a regular timeframe.				
12.9.	**Are appropriate loading and unloading procedures in place ?**	**Are appropriate loading and unloading procedures in place ?**				
12.9.1.	Is there a procedure in place that requires the driver/operator to open only one tanklid at a time during loading ?	Verify that all loading activities are described in written procedures. It is recommended to use and file a loading checklist, signed by the loading operator. Special attention (and in addition to normal loading and unloading procedures) should be given to the fact that only one tank lidat a time is open during loading. This to avoid contamination of any kind.				
12.10.	**Is the entire equipment in contact with products designed to protect product quality?**	**Is the entire equipment in contact with products designed to protect product quality?**				
12.10.1.	Is the loading equipment in contact with products dedicated, or, are validated cleaning procedures applied between loadings ?	It is recommended that the entire loading equipment, including the piping system, pumps, valves, flow elements, rigid loading arms or flexible hoses are dedicated for only one particular Food Contact product and clearly labelled. Alternatively, the last 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.				
12.10.2.	Is the unloading equipment in contact with products dedicated, or are validated cleaning procedures applied between unloadings ?	It is recommended that the entire unloading equipment, including piping systems, pumps, filters, valves, flow measuring elements, is also dedicated for only one particular food, food contact materials / animal feed materials and clearly labelled. Alternatively, the last utilisation of the entire unloading equipment should be as a minimum for the same product in industrial/technical grade or other acceptable pharmaceutical or food grade products. In any case, a written cleaning procedure, validated for effectiveness, should also be used whenever a change in product service is necessary. Unloading is preferably carried out by using a pump and a rigid arm or a flexible hose connected to the bottom valve of the transport equipment. A filter on the vapour phase inlet is recommended to avoid ingress of particles during unloading. Alternatively, the unloading may be achieved by pressurising the transport equipment with clean nitrogen or dry, filtered air.				
12.10.3.	Is all the equipment in contact with products identified ?	Check for proper and resistant labelling of pipes, unloading valves, hoses etc.				
12.10.4.	Is all the equipment in contact with products capped and/or properly stored after the operation, according to written procedures ?	The entire equipment including all connections and hoses should be immediately drained and capped after usage in order to avoid contamination with dust and moisture. Flexible hoses and other loading devices have to be properly stored to avoid contamination and misuse. It is recommended to use the customer's own dedicated hoses and connectors for unloading at customer sites.				
12.10.5.	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.				
12.10.6.	Do you seal all valves and openings after cleaning ?	No guidelines				
12.11.	**Are there appropriate procedures in place in relation to Animal Feed**	**Are there appropriate procedures in place in relation to Animal Feed ?**				
12.11.1.	Is there a procedure in place for the cleaning regime in accordance with the GMP+ Animal Feed product database requirements?	No guidelines				
12.11.2.	Is there a procedure in place on how to work with the GMP+ Animal Feed Product Database and its updates?	No guidelines				
12.11.3.	Is there a procedure in place for the order planning in accordance with the GMP+ Animal Feed product database requirements?	No guidelines				
12.11.4.	Is there a procedure in place to establish the Animal Feed product category of a new product to be transported?	No guidelines				
12.11.5.	Does the 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				