



# H. W. Coates Ltd. Grangemouth

**on 03-11-2020**

**The assessment covered the  
"Core" and "Transport Service Specific" elements  
and has been carried out using the  
Cefic - SQAS Transport Service Questionnaire and  
Guidelines.**

<b>Report:</b>	88199a (Submitted)	<b>Module:</b>	Transport Service
<b>Companyname:</b>	H. W. Coates Ltd.	<b>Re-assessment:</b>	03-11-2020 by Nielsen, D.
<b>Location:</b>	Grangemouth (United Kingdom)	<b>Expires on:</b>	03-11-2023
<b>Website:</b>	<a href="http://www.hwcoates.co.uk">www.hwcoates.co.uk</a>	<b>Company type:</b>	Stand-alone, 10-50 employees

The SQAS assessment report is a statement of facts and this attestation does not express any appreciation of the company's performance. The SQAS Assessment is valid for 3 years.



**0. Assessment Information and Scope**

**0.1. Assessment Information**

**0.1.1. Assessed Company**

Company Name	H. W. Coates Ltd.
Location (=Town/City)	Grangemouth
Country	GB
Postal code	FK3 8UU
Postal Address	Earls Road, Grangemouth Stirlingshire,
Phone	+44 (0) 1324 495400
Website	www.hwcoates.co.uk
1. Contact Person	Mark Brimley
Email	mbrimley@hwcoates.co.uk
2. Contact Person	Andy Colbourne
Email	acolbourne@hwcoates.co.uk
3. Contact Person	Mark Bryant
Email	mbryant@hwcoates.co.uk
Headquarter's Name	H W Coates Ltd
Headquarter's Address	Ladywood House, Ladywood Works, Lutterworth, Leicestershire, LE17 4HD
Type of company	Stand-alone
For headquarter, name subsidiaries	
For subsidiary, indicate the number of the report of the headquarter	
Company Membership: ECTA - FECC - CBA - Febetra - ANLIC - EFTCO - ...	CBA - RHA - UKWA
Total number of employees for all assessed activities (In a transport company the number of fully integrated drivers has to be included)	10-50

**0.1.2. Assessor**

**Lead Assessor**

Name	Nielsen, D.
Assessment Agency	Transmarine Ltd.
Address	-
Country	GB
Phone	+44 (0)7504 305 127
Mobile Phone	
Email	sqas@transmarine.uk

**Other Assessors**

Name(s)	-
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**Observers**

1. Name	
Company	
2. Name	
Company	

**0.1.3. Activities Assessed**

Road transport	Y
Tank cleaning	N
Intermodal terminal	N
Warehouse Activities	Y
Chemical distribution	N
Rail transport (Rail Undertaking/Rail freight forwarder)	N

**0.1.4. Assessment**

**Assessment**

First assessment	N
Re-assessment	Y
1. Report number	85481a
2. Report number	85481b
3. Report number	

**0.1.5. Assessment dates and duration**

Assessment dates and duration

	Date	Duration (number of days)
<b>Core or ESAD Di assessment</b>	02-11-2020	1

<b>Specific assessment 1</b>	03-11-2020	1
<b>Specific assessment 2</b>	04-11-2020	1
<b>Previous Core or ESAD Di assessment</b>		
<b>Previous Specific assessment 1</b>		
<b>Previous Specific assessment 2</b>		

**Remote assessment**

Partially remote assessment \_\_\_\_\_ N  
 Remote assessment carried out \_\_\_\_\_

0.1.6.

**Scope of assessment - Core Activity**

Core activity is included in this assessment \_\_\_\_\_ Y  
 Core activity is covered by other assessment \_\_\_\_\_ N

|Assessment Date \_\_\_\_\_

|Report Nr \_\_\_\_\_

0.2.

**Assessed company profile**

0.2.1.

**Key Contacts**

	<b>Name</b>	<b>Location</b>
<b>General Manager</b>	Mark Bryant	Grangemouth
<b>Operations Manager</b>	Andrew Lillie	Grangemouth
<b>Quality Assurance Manager</b>	Andy Colbourne	Hinckley
<b>Safety &amp; Health Manager</b>	Andy Colbourne	Hinckley
<b>Environmental Manager</b>	Andy Colbourne	Hinckley
<b>Dangerous Goods Safety Advisor</b>	Robert Symes	Hinckley
	Number Certificate DGSA	Valid until
	2927429/200113	14-01-2025
<b>Security Advisor</b>	Robert Symes	Hinckley

0.2.2.

**Systems Certifications**

<b>Type</b>	<b>Accredited Certification Body</b>	<b>Scope</b>	<b>Registration Number</b>	<b>Expiry Date</b>
Quality (ISO 9001, etc)	WQA	Warehousing, repackaging, national distribution and transport of packaged goods both hazardous and non-hazardous	QS3343	31-07-2021
Environment (ISO 14001, etc)				
Occupational Health and Safety (OHSAS 18001, etc)				
Business ethics or other CSR system (SA 8000, etc)				
Energy (ISO 50001, etc.)				

Does your company publish a Corporate Social Responsibility Report? \_\_\_\_\_ N

Has the company faced charges or been subject to legal proceedings related to business ethics (e.g. corruption and bribery, anti-competitive practices) in the past 5 years? \_\_\_\_\_ N

Percentage of disabled workers out of total workforce (year n-1) \_\_\_\_\_ 0

0.2.3.

**Responsible Care**

Is the company a member of an approved Responsible Care Programme? \_\_\_\_\_ Y

	If yes, which?	CBA
	For Other, specify	
<b>0.2.4.</b>	<b>Infrastructure</b>	
	Office building	Y
	Parking of empty vehicles/tanks/containers	Y
	Parking of loaded vehicles/tanks/containers	Y
	Toilets for own employees	Y
	Toilets for visiting operators/drivers	Y
	Showers for own employees	Y
	Showers for visiting operators/drivers	Y
	Canteen present for visiting operators/drivers	N
	Temporary storage of packaged products	Y
	Fuel storage and refuelling	Y
	Waste storage/treatment	N
	Railway connection	N
	Waterway connection	N
<b>0.2.5.</b>	<b>Incident response</b>	
	Description of onsite incident response team and equipment	There are trained persons on site for first aid and fire. Spill kits available and fire fighting equipment. In addition, the site has access to the Syngenta incident response team.
	Description of the local fire brigade (manpower, equipment, response time)	Falkirk is full-time station and within 5 minutes response time
<b>0.2.6.</b>	<b>Emergency equipment</b>	
	Description of emergency equipment that can be used for off-site emergencies.	Off-site transport emergency would be handled by contractors through the HERS scheme
<b>0.2.7.</b>	<b>Valid Operating License</b>	
	Number	OM1099998
	Scope	Standard National
	Validity until	30/11/2020
	Are all activities within the scope of the assessment mentioned in the operating licence?	Y
	If not 'Yes' please specify	
<b>0.3.</b>	<b>Transport services</b>	
<b>0.3.1.</b>	<b>Site information</b>	
	Operational activities present at the site	Y
<b>0.3.2.</b>	<b>Main Activities</b>	
	Road transport service bulk liquids	N
	Road transport service bulk solids	N
	Road transport service packed goods	Y
	Intermodal transport	N
	Freight forwarder	N
<b>0.3.3.</b>	<b>Subactivities</b>	
	Temporary storage - transfer	Y
	Maintenance workshop	N
	Transfer (intermodal) terminal	N
	Fixed storage tanks present (also tanks for fuel station)	Y
	Tankcontainer heating	N
	Tank and/or trailer repair	N
	Empty container handling	N
	Full container handling	N
	Airfreight (linked)	N
	Shuttle service	N
<b>0.3.4.</b>	<b>Geographical coverage</b>	
	National transport	Y
	International transport	N
<b>0.3.5.</b>	<b>Categories of drivers</b>	
	Own company drivers	Y
	Number of own company drivers	6
	Fully integrated subcontractors	N
	Number of fully integrated drivers	
	Non-integrated subcontractors	Y
	Average number of non-integrated trucks per year	2
	Spot subcontracting	N
	Average number of shipments per year	
	Number of operators (others than drivers)	0
<b>0.3.6.</b>	<b>Type of equipment</b>	
	Own company trucks	Y
	Own company packed goods trailers	Y

	Own company bulk trailers	N
	Own company containers	N
	Own company container chassis	N
<b>0.3.7.</b>	<b>Subcontractor services includes</b>	
	Trucks	Y
	Trailers /tanks	Y
	Containers	N
<b>0.3.8.</b>	<b>Products</b>	
	Tonnage of chemicals transported/handled per year	35500
	Are dangerous goods transported/handled?	Y
	% dangerous goods in regard to the total tonnage	75
	Does the company handle/transport HCDG goods (ADR 1.10)?	N
	<b>Classes of products transported</b>	
	Class 1 : Explosive substances and articles	N
	Are these products High Consequence Dangerous Goods?	
	Class 2 : Gases	Y
	Are these products High Consequence Dangerous Goods?	N
	<b>Flammable gases : tank &gt; 3000l Toxic gases (excl. Aerosols)</b>	
	Class 3 : Flammable liquids	Y
	Are these products High Consequence Dangerous Goods?	N
	<b>Flammable liquids of packaging groups I and II : tanks &gt; 3000l Desensitized explosives</b>	
	Class 4.1. : Flammable solids, self-reactive substances, polymerizing substances and solid desensitised explosives	Y
	Are these products High Consequence Dangerous Goods?	N
	<b>Desensitised explosives</b>	
	Class 4.2. : Substances liable to spontaneous combustion	Y
	Are these products High Consequence Dangerous Goods?	N
	<b>Packing group I : Tank &gt; 3000l</b>	
	Class 4.3. : Substances which in contact with water, emit flammable gases	N
	Are these products High Consequence Dangerous Goods?	
	<b>Packing group I : Tank &gt; 3000l</b>	
	Class 5.1. : Oxidizing substances	Y
	Are these products High Consequence Dangerous Goods?	N
	<b>Oxidizing liquids of packing group I : Tank &gt; 3000l Perchlorates, ammonium nitrate, ammonium nitrate fertilisers and ammonium nitrate emulsions or suspensions or gels : Tanks &gt; 3000l or Bulk &gt; 3000l</b>	
	Class 5.2. : Organic peroxides	N
	Class 6.1. : Toxic substances	Y
	Are these products High Consequence Dangerous Goods?	N
	<b>Toxic substances of packing group I</b>	
	Class 6.2. : Infectious substances	N
	Are these products High Consequence Dangerous Goods?	
	<b>Infectious substances of Cat A</b>	
	Class 7 : Radioactive material	N
	Are these products High Consequence Dangerous Goods?	
	<b>Radioactive material see ADR table 1.10.3.1.3 for specs</b>	
	Class 8 : Corrosive substances	Y
	Are these products High Consequence Dangerous Goods?	N
	<b>Packing group I : Tank &gt; 3000l</b>	
	Class 9 : Miscellaneous dangerous substances and articles	Y
	<b>Transport/handling substances with specific properties</b>	
	CMR : Category carcinogenic, mutagenic and reprotoxical	Y
	Does the company transport dry products including plastics and polymers?	Y
	Handling of food contact / food / feed products	N
	The company chooses to be assessed against the Food(contact) & Feed chapter	
	Handling of chlorinated solvents	N
	Handling of Pharma products	N
	Handling of Cosmetic products	N
	Allergen free business	N
<b>0.3.9.</b>	<b>Type of transport companies and tonnage transported</b>	

Type of transport	Number of subcontracted companies	Tonnage of chemicals transported (in tonnes per year)	% of chemicals transported

<b>Own transport</b>		23250	65%
<b>FIS (Fully Integrated Subcontractors)</b>	0	0	0%
<b>NIS - SQAS assessed</b>	0	0	0%
<b>NIS - non SQAS assessed</b>	5	12250	35%
<b>SPOT - SQAS assessed</b>	0	0	0%
<b>SPOT - non SQAS assessed</b>	0	0	0%
<b>TOTAL</b>		35500	100%

			Y/N
C	1.	<b>Management System and Responsibility</b>	
C	1.1.	<b>Management Responsibility</b>	
C	1.1.1.	<b>Company Policies</b>	
C	1.1.1.1.	<b>Does the company have a current written policy reflecting management's active commitment to:</b>	
C	1.1.1.1a.	- Safety & Health, Environment, Quality/customers requirements, Security, Behaviour Based Safety, Prohibition of drugs and Alcohol, Training development, Non conformance reporting? <i>Assessor: All policy statements were signed by the Managing Director, Tom Coates, and were last revised in Jan. 2020 and March 2020: Quality Policy and Objectives, includes training statement, audit statement, customer complaints, and non-conformance reporting; Health &amp; Safety Policy; Drug &amp; Alcohol Policy; Environmental Policy; Security Policy. BBS policy statement which includes drivers, forklift drivers and office staff, signed Jan. 2020</i>	RC 1
C	1.1.1.1b.	- Corporate Social Responsibility (CSR) requirements? <i>Assessor: The policy statement is signed by the Managing Director, Tom Coates, and was last revised in January 2020. The CSR policy states that no person under the legal minimum age can be employed. A separate policy statement for the elimination of discrimination on the grounds of race, sex, marriage, and disability and the promotion of equality of opportunity in employment with Coates was last revised in Jan. 2020. Modern slavery statement. The responsible care policy was last revised in Jan. 2020. The ethical procurement policy was last revised Jan. 2020.</i>	RC 1
C	1.1.1.2.	Are senior managers sufficiently visible and engaged in carrying forward the SHEQ&Sec message? <i>Assessor: The Director with responsibility for Grangemouth usually visits the site approx. every 4 to 6 weeks and keeps a log of his visit. The Safety, Health, Environment and Quality Committee meets abt 3 times a year, although this has been curtailed during 2020 due to the Covid-19 restrictions. The minutes of the last meeting were made available for a review. The meetings are attended by: Director, Warehouse Manager, Depot Manager, Transport manager, HSEQ manager, plus depending on the topics office staff or warehouse operatives or drivers. This ensures that issues raised by drivers or operatives are addressed and also that conclusions are shared with the workforce.</i>	RC 1
C	1.1.1.3.	Does the line management interact and constructively encourage employees to be actively engaged in SHEQ&Sec performance improvement? <i>Assessor: The main interaction route is through the safety committee meetings. All employees are encouraged to report near misses or non-conformances and any issues would then be discussed during the annual training and performance review.</i>	RC 1
C	1.1.2.	<b>Roles &amp; Responsibilities</b>	
C	1.1.2.1.	Is there an organization chart and associated job description defining each individual's role within the organization, including their responsibilities for SHEQ&Sec and CSR? <i>Assessor: The organization chart was available for review. Job descriptions were sampled and reviewed.</i>	1
C	1.1.3.	<b>Legislation and other requirements</b>	
C	1.1.3.1.	Is there proof available that the company stays abreast of all relevant legislation and legislative developments in the area of SHEQ&Sec and CSR and are persons formally designated or a source defined? <i>Assessor: The Group HSE Manager has been tasked with maintaining the legal register. A data-base is maintained on the intranet, which is accessible to staff. The company subscribes to Croners, the HSE, RHA, CBA, CSSC and the Motor Transport Magazine.</i>	RC 1
C	1.1.3.2.	Is there a written procedure present which describes how legislative changes as detailed in the register of legal requirements are communicated and implemented in the company? <i>Assessor: procedure 4.6.2.1 applies</i>	1
C	1.1.3.3.	Is a regular review made of the system for compliance with legal requirements ?	1
C	1.1.3.4.	Does the Dangerous Goods Safety Advisor produce an annual report to Management on the Companies' activities in the transport of dangerous goods, in accordance with legal requirements and within six months after year end? <i>Assessor: 2019 report iss. 19.02.2020; 2018 report: iss. 7.05.2019; 2017 report iss. 19.03.2018</i>	1

C	2.	<b>Risk management</b>			Y/N
C	2.1.	<b>Risk assessment and mitigation measures</b>			
C	2.1.1.	<b>Is there a process to assess and document the Safety, Health, Environmental, Security risks and working conditions , related to all activities of the company, considering following aspects ?</b>			
C	2.1.1.a.	- start-up of new operations/activities (e.g. new products, new routes) ? Assessor: A recent example was available for review. The company uses a detailed pro-forma, which also addresses the issues of COMAH tier limits and includes an SDS review.	RC		1
C	2.1.1.b.	- change of operations/activities (e.g. new products, new routes) Assessor: The management of change procedure is in place. Recent examples were made available at request for a review.	RCimp		1
C	2.1.1.c.	- periodic review of risks on current activities? Assessor: The risk assessments are reviewed every 2 years, and input from the various depots is considered by the Group HSE Manager.	RC		1
C	2.1.2.	Are measures taken to control/mitigate all identified risks ? Assessor: Based on the risk assessment matrix and list, the company has taken measures to address and mitigate the risks identified by them.	RC		1
C	2.2.	<b>Safety</b>			
C	2.2.1.	<b>Personal Protective Equipment (PPE)</b>			
C	2.2.1.1.	Is there a written procedure defining what PPE has to be used under what circumstances ? Assessor: A generic statement on PPE is included in the staff handbook. Additional instructions are included in the driver handbook and the warehouse operative handbook. Any additional product specific PPE would be included in the transport job cards or the picking notes. At the time of this SQAS assessment, no products were stored or transported in Grangemouth, which required specific PPE.	RC		1
C	2.2.1.2.	Is the PPE regularly checked (before use and at set intervals) and replaced when required ? Assessor: Employees check their own PPE. In addition, monthly walk about checks are conducted which include PPE.			1
C	2.2.1.3.	Are instructions and training provided when category III PPE or other specific precautions are needed and used? Assessor: At the time of this SQAS assessment, no cat. III PPE was in use.	RC		-
C	2.3.	<b>Health</b>			
C	2.3.1.	Are current Safety Data Sheets, available on site from the manufacturers for all products transported and/or handled? Assessor: Chemical companies and supporting companies located in Grangemouth have established an incident response unit, MICC, and members of the MICC supply the MSDS to the team. Emergency services have access to this data-base. Coates Grangemouth also have access to the online repository of MSDS of their Grangemouth customers. This ensures that only up-to-date versions are in use. During the internal audits, MSDS are sampled and verified to be up-to-date.	RC		1
C	2.4.	<b>Security</b>			
C	2.4.1.	Is there a system to monitor entry, exit and to limit access to restricted areas of all personnel and visitors through positive identification ? Assessor: Office access is controlled through fob access. Visitors would first report to the office, sign in, and are issued a badge. Visitors are accompanied at all times. Contractors are signed in, site inducted and issued a work permit. Drivers stop in front of the gate, report to the office, and are given instructions which bay to park. Drivers for the North site are also requested to first report to the South site office, and are only directed to the North site, if space is available on site. Both sites are CCTV controlled. During normal working hours, the cameras are monitored from the South site office. Out of normal working hours, the CCTV is monitored from the Rugby office where a security guard is stationed.			1
C	2.4.2.	Is there a written procedure in place, requiring documented periodical inspections, to identify breaches in the security of the buildings/premises? Assessor: The walkabout checklists are completed monthly and archived. Security inspections are conducted daily and archived.	RCimp		1
C	2.4.3.	Has a risk assessment been conducted in the last twelve months, as a minimum frequency, regarding data on customers, products and operations and are measures taken to mitigate identified risks? Assessor: On an annual basis, the IT risks are reviewed and audited. Reports are archived. A detailed IT risk assessment of the group has been documented, which is reviewed annually to incorporate any recommendations, NC or OFI identified in the IT audit.			1
C	2.4.4.	Is there an inventory of Information Technology assets containing confidential company data?			1
C	2.4.5.	Is there a proactive maintenance program on Information Technology			1



C	2.4.6.	assets handling information technology? Has the company evaluated the risk of unauthorized entrance (including refugees) to company premises, transport equipment, tank cleaning facilities, storage areas or information processing facilities on site? <i>Assessor: This is part of the Coates group security plan.</i>		1
C	2.4.7.	Is a system in place to ensure that communication dialogue and information exchange on security issues is appropriate? <i>Assessor: The membership of the local MICC ensures that security information is received. In addition, Coates are members of the Cross Sector Safety and Security Communications (CSSC) network.</i>		1
C	2.4.8.	Is a system in place to ensure that response to security threats and incident are defined? <i>Assessor: Any security incident would be reported and analysed during the safety committee meeting.</i>		1
<b>C</b>	<b>2.5.</b>	<b>Fair business practices</b>		
C	2.5.1.	Has the company formalized the fair business practices ? <i>Assessor: Ethical procurement policy is in place. All employees have been given the staff handbook, which includes a section on fair business practices. A business risk assessment is part of the quality manual.</i>		1
C	2.5.2.	Are there mechanisms in place to ensure effective implementation of the anti-corruption and bribery policy (including for instance: conflict of interest, fraud, money laundering)? <i>Assessor: All capital expenditure has to be signed off by the Managing Director. Smaller purchases can be authorised by e.g. the Depot Manager or by the Director. Usually three quotes would be requested for most purchases. The staff handbook contains a chapter "Code of conduct for employees" which addresses: ethics, conflict of interest, gifts and hospitality, sale of scrap or damaged or surplus material. The reporting channel is detailed. The company does not have a whistle blower hotline. The management have reviewed the possibility of corruption or bribery and classed it as negligible.</i>	RC	1
C	2.5.3.	Are there mechanisms in place to ensure effective implementation of the anti-competitive practices policy? <i>Assessor: An internal financial audit also addresses fraud and anti-competitive practices. Every employee is issued the staff handbook and signs for the receipt. The staff handbook would be revised regularly and if re-issued, staff would sign again. A chapter in the employee handbook addresses anti-competitive practices.</i>		1
<b>C</b>	<b>2.6.</b>	<b>Environment</b>		
C	2.6.1.	Is the classification, storing, segregation, identification, protection and final destination of any generated waste, done according to legal regulations and only by legally approved waste management companies? <i>Assessor: Most waste generated is general waste, and is sorted in classes. Any product waste would be collected and sent back to the chemical producer. Waste disposal notes are archived and were available at request</i>		1
C	2.6.2.	Has the company carried out a risk assessment taking into account the impact of company activities on soil and groundwater contamination? <i>Assessor: The risk assessment includes environmental risks. Both sites (North and South) are fully bunded, all surfaces are concreted and the drains empty into e.g. the Calachem operated effluent treatment plant or into a special sewer. In case of a spillage, the drains can be shut through the use of Rotork valves.</i>		1
C	2.6.3.	Where plastic/flakes/powder are transported/handled in bulk or packaged forms, has the company signed up to "Operation Clean Sweep" or "Zero Pellet Loss" or similar programmes? <i>Assessor: This is also part of the generic spill training.</i>		1
C	2.6.4.	Has the company asked the applicable subcontractors to sign the programmes mentioned in 2.6.3 where the company transports/handles plastic/flakes/powder? <i>Assessor: As a result, one sub-contractor signed up for OCS.</i>		1
<b>C</b>	<b>2.6.5.</b>	<b>Is there a programme in place to measure and reduce pro rata the use of the following resources in fixed installations?:</b>		
C	2.6.5a.	- electricity <i>Assessor: All lighting in the warehouse has been converted to LED and is motion activated. The company is Esos audited.</i>		1
C	2.6.5b.	- fuel <i>Assessor: There are informal checks on the consumption through e.g. the Depot Manager or the accounts department. The ESOS audit also established the baseline, but there is no formal programme in place to reduce consumption.</i>		0
C	2.6.5c.	- water <i>Assessor: The water consumption is measured, but there is no formal reduction programme in place.</i>		0
C	2.6.6.	Is a programme in place to measure and reduce pro rata the output of emissions? <i>Assessor: The environmental objectives of the Coates Group are defined in Doc.</i>		0

*4.1.1.1. These objectives address: general issues; transport issues and warehouse issues. Examples are: purchase new vehicles with latest EURO fuel efficient engines, fit aerodynamics or monthly review of telematics to ensure that consumption is efficient; purchase electric FLT where possible, purchase FLT with fuel efficient engines, fit LED lighting with motion sensors, install renewable energy sources, recycle waste.*

*The emissions of the transport unit are measured, emissions of forklifts, or heaters are presently not measured or calculated.*

C 2.6.7.

Is a programme in place to measure and to reduce pro rata the waste generated by the company activities?

*Assessor: The amount of waste generated is measured, but there is no reduction programme in place.*

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			Y/N
<b>C</b>	<b>3.</b>	<b>Human Resources</b>	
<b>C</b>	<b>3.1.</b>	<b>Recruitment</b>	
C	3.1.1.	Is there a written recruitment procedure which takes into account relevant experience, competence and education for all employees, including temporary staff? <i>Assessor: procedure 5.1.3 applies</i>	1
C	3.1.2.	Have all operating personnel (drivers, operators, etc.) undergone a periodic medical examination where required by law or by the risk assessment of the job? <i>Assessor: If the annual training review identifies such a need, then the employee is supported. This also covers eye examinations.</i>	1
C	3.1.3.	Is there a written grievance and disciplinary procedure? <i>Assessor: The procedure is in the staff handbook and all new employees are trained during induction.</i>	1
<b>C</b>	<b>3.2.</b>	<b>Training</b>	
C	3.2.1.	Is there a training programme in place for all personnel that results in an individual training plan and are records available that the training plan has been implemented? Is the training plan reviewed annually? <i>Assessor: Training programme for: office staff, warehouse operators, drivers and operatives employed in the Syngenta site. Training records for individual employees are maintained in files and samples were made available at request for a review.</i>	RC 1
<b>C</b>	<b>3.2.2.</b>	<b>Are the following subjects being trained:</b>	
C	3.2.2a.	- incident reporting, investigation and analysis?	RC 1
C	3.2.2b.	- dangerous goods handling?	1
C	3.2.2c.	- specific product or handling needs?	1
C	3.2.2d.	- use of PPE (Personal Protective Equipment)?	RC 1
C	3.2.2e.	- company emergency written procedures?	RC 1
C	3.2.2f.	- spill prevention and control?	RCimp 1
C	3.2.2g.	- Behaviour Based Safety (BBS) principles? <i>Assessor: Office staff attend a BBS awareness training, warehouse operators/ forklift operators attend a specific training course and lorry drivers are BBS trained and assessed.</i>	RC 1
C	3.2.2h.	- security awareness proportionate to the risk and their role within the business (Security of information should be included)?	1
C	3.2.2i.	- risk Assessment and risk Management? <i>Assessor: The induction training covers risk assessment and risk management topics, with respect to the job tasks and responsibilities.</i>	1
C	3.2.2j.	- communication skills? <i>Assessor: All staff are native English speakers.</i>	1
C	3.2.2k.	- all aspects related to prevention of bribery and corruption? <i>Assessor: The staff handbook is part of the employment contract, and the handbook has recently been up-dated and all employees sign for the receipt.</i>	1
C	3.2.2l.	- training in awareness of fatigue and tiredness? <i>Assessor: Drivers are inducted and the driver handbook contains a chapter on fatigue. There are currently no documented fatigue awareness training courses for other employees. Coates have recently developed and inaugurated an online training system and training in fatigue awareness is one of the courses offered.</i>	RC 0
C	3.2.2m.	- company ethics policy / code of ethics? <i>Assessor: As part of the induction training covering the staff handbook.</i>	1
C	3.2.2n.	- training and Awareness about impact of plastic/flakes/powder loss, where the company transport/handle these products <i>Assessor: The spill training modules is generic and the company plans to expand the module to cover these issues.</i>	0
C	3.2.3.	Is a first aid training programme defined for identified persons and implemented ? <i>Assessor: Three first aiders on site. In addition, the company can rely on the Syngenta first aiders.</i>	1
C	3.2.4.	Are variances from the plan effectively followed up?	1
C	3.2.5.	Is the effectiveness of the training checked for each employee ?	1
<b>C</b>	<b>3.3.</b>	<b>Behaviour Based Safety (BBS)</b>	
C	3.3.1.	Has a BBS implementation plan, or an established programme, been set up with targets, resourcing and timeline? <i>Assessor: The driver BBS programme is outlined in QM document 6.6.19, and the fork lift truck BBS programme is outlined in QM document 6.6.28. Office staff attend a BBS awareness module. The company is at level 2.</i>	RC 1
C	3.3.2.	Have the respective responsibilities of all personnel in the implementation of BBS been identified ?	1

Assessor: Lorry drivers and forklift drivers are trained in-house.

<b>3.4. Labour Policy and human rights</b>			
C	3.4.1.	Are specific mechanisms in place to ensure effective implementation of your company's Career Management and training policy? <i>Assessor: The recruitment process is transparent, assessments are conducted at least annually, but might be done in shorter intervals. The company clearly prefers in-house recruitment and development and would only recruit external candidates if they need special skills.</i>	1
C	3.4.2.	Are specific mechanisms in place to ensure effective implementation of your company's non discrimination policy <i>Assessor: The policy statement clearly spells out the company commitment. The workforce in the office is well balanced in terms of gender distribution.</i>	RC 1
C	3.4.3.	Are specific mechanisms in place to ensure effective implementation of the company's policy about child labour? <i>Assessor: A young workers risk assessment is in use. At the time of the assessment, the youngest employee is 24 years of age.</i>	1
C	3.4.4.	Does the company ensure that no forced, bonded or involuntary prison labor is employed? <i>Assessor: A new recruit has to submit: a P45, a National Insurance number, references are checked and verified, the address is checked, if not British, the right to work is verified, all wages and salaries are paid into bank accounts, drivers have their driving history checked.</i>	1

C	4.	<b>On/Off Site Emergency Preparedness and Response</b>		<input type="text" value="Y/N"/>
C	4.1.	Is there a written plan for dealing with on-site and off-site emergencies and potential crises?	RC	<input type="text" value="1"/>
C	4.2.	<b>Does this written plan contain the following information :</b>		
C	4.2a.	- individual responsibilities ?		<input type="text" value="1"/>
C	4.2b.	- arrangements for 24/7 hours coverage by trained responders ?		<input type="text" value="1"/>
C	4.2c.	- a list of the different parties to be informed with their contact details (customers, authorities) ?		<input type="text" value="1"/>
C	4.2d.	- a written procedure for handling the information towards the neighbourhood, the press and other interested parties of serious accidents/incidents that happened on site?		<input type="text" value="1"/>
C	4.3.	Is the emergency equipment maintained, tested or checked on a regular basis? <i>Assessor: Test are conducted and documented: fire alarm, eye wash bottles, emergency showers are regularly tested by own staff. The sprinkler system pumps and the smoke detectors are regularly tested by an outside contractor. The fire extinguishers are serviced by an external contractor.</i>		<input type="text" value="1"/>
C	4.4.	Has there been a comprehensive test of the emergency plan for on-site and off site emergencies during the past 12 months ? <i>Assessor: An on-site incident was recorded on 21.05.2019 and an off-site incident was recorded on 8. July 2020. Due to the Covid-19 restrictions the 2020 planned exercise had to be postponed.</i>		<input type="text" value="1"/>
C	4.5.	Is there a documented business continuity plan and does this plan contain the customer contacts to be informed ? <i>Assessor: The plan must be read in conjunction with the emergency plan.</i>		<input type="text" value="1"/>

			Y/N
C	<b>5.</b>	<b>Performance Analysis and Management Review</b>	
C	<b>5.1.</b>	<b>Non-conformance reporting, investigation, analysis and corrective action</b>	
C	<b>5.1.1.</b>	<b>Is there a documented system in place for recording non-conformances regarding :</b>	
C	5.1.1.a.	- accidents & incidents ? <i>Assessor: Records are kept at depot level, the investigation reports are also archived at depot level. All of this is reported to the Group HSE manager who prepares KPI reports for the board meeting.</i>	RC <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.1.b.	- breaches of security and threats?	RCimp <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.1.c.	- unsafe behaviour & unsafe conditions ?	RCimp <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.1.d.	- regulatory compliance? <i>Assessor: This would be recorded as an incident , investigated and reported.</i>	<span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.1.e.	- product contamination ?	RC <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.1.f.	- product discrepancies and shortshipments ?	<span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.1.g.	- corruption & bribery ? <i>Assessor: The file is empty.</i>	<span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.1.h.	- grievance and disciplinary findings? <i>Assessor: The documentation was available at request and a sample was reviewed.</i>	<span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.2.	Is a detailed report on non-compliances provided to the responsible management, containing immediate cause, root cause and recommendations for corrective actions to prevent recurrence?	RC <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.3.	After an incident/accident are the employees and contractors concerned informed and if necessary trained with the aid of a Root Cause analysis?	RCimp <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.4.	Is there a procedure in place to inform the customer promptly of all non-conformances involving his shipments/products? <i>Assessor: Examples were made available. The main customer would be informed immediately by phone or e-mail.</i>	<span style="border: 1px solid black; padding: 2px;">1</span>
C	5.1.5.	Is the DGSA involved after an incident where dangerous goods were involved? <i>Assessor: The investigation report has a box which confirms that the DGSA has been involved and the annual DGSA report dwells on incidents.</i>	<span style="border: 1px solid black; padding: 2px;">1</span>
C	<b>5.2.</b>	<b>SHEQ&amp;Sec &amp; CSR Objectives and Trend Analysis</b>	
C	5.2.1.	Is there a process in place to monitor and analyse SHEQ&Sec & CSR data to identify trends, to set objectives and is there an action plan in place to achieve these objectives ? <i>Assessor: This is part of the local site safety committee meetings and this summary is reported to the executive meetings. The minutes of the site safety committee meetings are circulated to the Managing Director.</i>	RC <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.2.2.	Has the Safety, Health, Environment action plan of the company been reviewed against the applicable Responsible Care Programme ? <i>Assessor: The company have won the Responsible Care award three times.</i>	RC <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.2.3.	Does the company promote the principles of Responsible Care to logistic partners? <i>Assessor: This is part of the haulage sub-contractor agreement. The company does not sub-contract other logistics partners.</i>	RC <span style="border: 1px solid black; padding: 2px;">1</span>
C	<b>5.3.</b>	<b>Internal Audit</b>	
C	5.3.1.	Is there a documented plan for internal auditing of all areas referred to in SQAS and covering compliance with applicable legislation and permits? <i>Assessor: An audit plan covering all group sites and departments was made available for a review.</i>	RC <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.3.2.	For non-conformances identified in the audits, are action plans developed and are corrective actions taken ? <i>Assessor: In the audit report, the action plan and rectification time is defined. The Group HSE Manager in conjunction with the Exec. Director would monitor the action plan.</i>	RCimp <span style="border: 1px solid black; padding: 2px;">1</span>
C	5.3.3.	Do those carrying out auditing have training and/or competence in auditing and evaluation techniques ? <i>Assessor: The group HSE manager has had auditor training through his NEBOSH qualification. The other internal auditors have attended in-house auditor training.</i>	<span style="border: 1px solid black; padding: 2px;">1</span>
C	5.3.4.	Are safety walkabouts carried out and documented by appropriate managers on a periodical basis? <i>Assessor: Daily, weekly and monthly safety checks and walk abouts are documented.</i>	RCimp <span style="border: 1px solid black; padding: 2px;">1</span>
C	<b>5.4.</b>	<b>Management Review Meetings</b>	
C	<b>5.4.1.</b>	<b>Is a formal management review meeting held at least once a</b>	<b>RC</b>

<b>year to review the management system that includes, as minimum, the following inputs?:</b>			
C	5.4.1a.	- the status of actions of previous Management review meetings	1
C	5.4.1b.	- the DGSA Annual report (if applicable)	1
C	5.4.1c.	- the performance of subcontractors	1
C	5.4.1d.	- the effectiveness of the training programme	1
C	5.4.1e.	- the audit results	1
C	5.4.1f.	- the monitoring of trends of SHEQ, Sec &CSR KPIs, BBS KPIs and Responsible Care KPIs (if applicable)	1
C	5.4.1g.	- the extent of which SHEQ, Sec &CSR objectives have been met	1
C	5.4.1h.	- the effectiveness of the programmes about resources consumption optimization required by question 2.6.5 <i>Assessor: The ESOS results were discussed and reviewed. Reduction programmes are in place for part of the questions in sect. 2.6.5</i>	0
C	5.4.1i.	- the effectiveness of the programmes about emission reduction required by questions 2.6.6	1
C	5.4.1j.	- the effectiveness of the programme about waste reduction required by question 2.6.7	0
C	5.4.1k.	- the outcome of the last SQAS assessment (if applicable)	1
C	5.4.1l.	- the outcome of the emergency response drills	1
C	5.4.1m.	- recommendation(s) for improvements	1
C	5.4.2.	Did the senior management consider the recommendations of 5.4.1. and define an improvement action plan with allocated actions and due dates?	1
C	5.4.3.	Does senior management monitor progress versus targets on SHEQ&Sec & CSR matters at relevant management meetings?	RCimp 1
C	5.4.4.	Is there evidence that learning points from SHEQ&Sec issues are shared with the workforce ?	RCimp 1

			Y/N
<b>6.</b>	<b>Management of Subcontractors</b>		
<b>6.1.</b>	<b>Subcontracting services</b>		
<b>6.1.1.</b>	<b>Subcontracting policy</b>		
6.1.1.1.	Does the assessed company have a written process for subcontracting road transport and road transport related services (including the selection process, performance assessment and monitoring) ? <i>Assessor: The sub-contractor handbook (last revised July 2019) also defines the selection process in detail. Sub-subcontracting is prohibited and the procedure to conduct performance assessment and monitoring is defined in the handbook.</i>	RC	1
6.1.1.2.	Are the requirements and restrictions of the customer chemical companies (including spot subcontracting), reflected in the subcontracting written process?		1
<b>6.1.2.</b>	<b>Fully integrated road transport subcontractors/drivers (FIS)</b>		
6.1.2.1.	Are the fully integrated subcontractors used by the assessed company listed in an approved subcontractors/drivers list?		-
6.1.2.2.	Are written procedures in place to ensure that fully integrated subcontractors/drivers are covered in each part of the company's management system?	RC	-
<b>6.1.3.</b>	<b>Non-integrated road transport subcontractors</b>		
6.1.3.1.	Are the non-integrated subcontractors used by the assessed company listed in an approved subcontractors/drivers list? <i>Assessor: Each Coates depot maintains a list of sub-contractors approved for this depot.</i>	RC	1
6.1.3.2.	Does the assessed company hand out a driver manual as defined in 11.3.1 to drivers of non-integrated subcontractors or check that the subcontractor's handbook is consistent with its own ? <i>Assessor: Coates check that the sub-contractor driver handbook is consistent with their own driver handbook.</i>		1
<b>6.1.4.</b>	<b>Unplanned spot services by road transport subcontractors</b>		
6.1.4.1.	When the assessed company has to deploy unplanned resources in the supply chain, are the minimum service requirements documented and requested of these road transport companies?	RCimp	-
<b>6.2.</b>	<b>Performance monitoring of subcontractors</b>		
<b>6.2.1.</b>	<b>Performance criteria for Road Transport subcontractors</b>		
<b>6.2.1.1.</b>	<b>Is there a written agreement with each road transport subcontractor (FIS and non integrated subcontractors) that contains the requirements and standards relating to the following criteria:</b>		
6.2.1.1a.	- compliance with all relevant national and international regulations and laws ? - operating licenses consistent with the activities and operations ? - drivers/operators holding valid ADR licenses/certificates? - working/driving hours compliance and keeping records? - drugs and alcohol policy ? - appointment and fulfilment of the duties of the DGSA? - vehicle inspection and testing? - adequate driver selection? - comprehensive insurance coverage ? - PPE/ emergency equipment? - security provisions as required by applicable legislation ? <i>Assessor: All of these requirements are listed in the sub-contractor handbook, which forms part of the agreement. All three sub-contractors employed through the Grangemouth depot have appointed a DGSA.</i>		1
6.2.1.1b.	- hose monitoring and testing ?	RCimp	-
6.2.1.1c.	- implementation of Behaviour Based Safety (BBS) on driving and loading/unloading according to the Cefic BBS Guidelines for safe driving and (un)loading?	RC	0
6.2.1.1d.	- Journey Plans including safe and secure vehicle parking? <i>Assessor: Almost all transport jobs are short distances and no HCDG are transported out of the Grangemouth depot.</i>		-
6.2.1.1e.	- carry forward transport and customs documents to all service partners in the chain, including EIR (Equipment Interchange Receipt) if required ? <i>Assessor: Customs documents are not required as Coates in Grangemouth only plan and execute national transports.</i>		1
6.2.1.1f.	- use of emergency number / emergency response capabilities ?	RC	1
6.2.1.1g.	- vehicle preventive maintenance and statutory inspection of transport equipment ?	RCimp	1
6.2.1.1h.	- use of approved tank cleaning stations ?	RC	-



6.2.1.1i.	- compliance with customers site requirements? <i>Assessor: Since the company only transport packaged goods, this only applies to load securing and cleanliness of the cargo compartment as well as any site specific PPE requirements.</i>		1
6.2.1.1j.	- adequate driver training criteria (e.g. product specific training, legal training, customer specific training)?	RC	1
6.2.1.1k.	- sub-subcontracting of haulage? <i>Assessor: Sub-subcontracting is expressly forbidden.</i>		1
6.2.1.1l.	- handling and reporting of non-conformances (transport events)?	RCimp	1
6.2.1.1m.	- confidentiality of operational and commercial data ? <i>Assessor: Commercial data is not disclosed to sub-contractor drivers. Operational data is given through their job order and the manifest in hard-copy.</i>		1
6.2.1.1n.	- has a system to collect data on transport Greenhouse Gas (GHG) emissions ?		0
<b>6.2.2.</b>	<b>Performance monitoring process</b>		
6.2.2.1.	Has the company a documented process for the evaluation and performance monitoring of all its service partners? <i>Assessor: An annual review meeting is conducted with each of the three sub-contractors employed out of the Grangemouth depot, which grades: service level; communications; documentation; equipment; driver appearance; responsiveness; customer liaison.</i>		1
<b>6.2.2.2.</b>	<b>For all service partners who are SQAS assessed: are they evaluated in their performance on the basis of the following packages :</b>		
6.2.2.2a.	- SQAS Transport Service for all non-integrated road transport subcontractors? <i>Assessor: All sub-contractors are assessed through the annual review meeting. Should accidents or incidents have been recorded, in which the sub-contractor was involved, this would be addressed during the review meeting.</i>	RCimp	0
6.2.2.2b.	- SQAS Warehouse for warehousing services? <i>Assessor: No warehouse services are sub-contracted.</i>		-
6.2.2.2c.	- SQAS Rail for Rail carriers?		-
6.2.2.2d.	- SQAS Cleaning for cleaning stations ?	RC	-
6.2.2.2e.	- 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?		-
6.2.2.3.	When non-integrated road transport subcontractors are not SQAS assessed, is the company using alternative assessment systems to evaluate their performance? <i>Assessor: Samples of the sub-contractor assessment files were reviewed and found to be comprehensive. The review meetings are documented.</i>		1
<b>6.2.2.4.</b>	<b>When SQAS packages are not used, are the following criteria taken into account to evaluate the non-integrated road transport subcontractors?:</b>		
6.2.2.4a.	- legal requirements as defined in section 6.2.1.1.a <i>Assessor: Copies of documents are kept in the respective sub-contractor file.</i>		1
6.2.2.4b.	- implementation of Behaviour Based Safety (BBS) on driving and loading/unloading according to the Cefic BBS Guidelines for safe driving and (un)loading <i>Assessor: BBS is not an exclusion criterion.</i>	RC	0
6.2.2.4c.	- drugs and alcohol policy <i>Assessor: Self-assessment and part of the sub-contractor handbook.</i>		1
6.2.2.4d.	- Journey Plans including safe and secure vehicle parking <i>Assessor: HCDG are not transported out of the Grangemouth depot.</i>		-
6.2.2.4e.	- carry forward transport and customs documents to all service partners in the chain, including the EIR (Equipment Interchange Receipt) if required <i>Assessor: As stipulated in the sub-contractor handbook and reviewed during the annual review meeting.</i>		1
6.2.2.4f.	- use of emergency number / emergency response capabilities <i>Assessor: As stipulated in the sub-contractor handbook the sub-contractor would either notify his own traffic office or, if out of hours, the driver would contact the HERS number. Coates have a contract with HERS.</i>	RC	1
6.2.2.4g.	- vehicle preventive maintenance and statutory inspection of transport equipment <i>Assessor: not presently checked/ assessed</i>	RCimp	0
6.2.2.4h.	- use of approved tank cleaning stations	RC	-
6.2.2.4i.	- compliance with customers' site requirements <i>Assessor: As stipulated in the sub-contractor handbook and reviewed during the annual review meeting.</i>		1
6.2.2.4j.	- adequate driver training criteria (e.g. product specific training, legal training, customer specific training) <i>Assessor: As stipulated in the sub-contractor handbook and reviewed during the annual review meeting.</i>	RC	1

6.2.2.4k.	- handling and reporting of non-conformances (transport events) <i>Assessor: As stipulated in the sub-contractor handbook and reviewed during the annual review meeting.</i>	RCimp	1
6.2.2.4l.	- confidentiality of operational and commercial data <i>Assessor: As stipulated in the sub-contractor handbook and reviewed during the annual review meeting.</i>		1
6.2.2.4m.	- security provisions as required by applicable legislation <i>Assessor: No HCDG are transported out of the Grangemouth depot. As stipulated in the sub-contractor handbook and reviewed during the annual review meeting.</i>		1
6.2.2.4n.	- has a system to collect data on transport GHG emissions? <i>Assessor: This is not part of the sub-contractor agreement.</i>		0
<b>6.2.2.5.</b>	<b>Does the assessed company retain documented evidence that compliance with the performance criteria :</b>		
6.2.2.5a.	- was verified before the agreement, was signed with each road transport subcontractor and was repeated regularly ?		1
6.2.2.5b.	- is followed-up on a regular basis through dialogue and improvement action programmes with road transport subcontractors selected based on performance review? <i>Assessor: The annual review meeting is held to address this issue.</i>		1

		Y/N
<b>7.</b>	<b>Equipment: Specification, Inspection, Maintenance, and Calibration</b>	
<b>7.1.</b>	<b>Equipment specification</b>	
<b>7.1.1.</b>	<b>Is there a written specification for the purchase or lease of each vehicle/tank/tank container and associated equipment including the following items:</b>	
7.1.1.a.	- air conditioning ?	1
7.1.1.b.	- roll-over detection warning system ? <i>Assessor: Only packaged cargo is transported.</i>	-
7.1.1.c.	- interlocking of the fifth wheel coupling? <i>Assessor: mechanical interlocking</i>	1
7.1.1.d.	- Electronic Stability Control ?	1
7.1.1.e.	- retro-reflective back and side markings ?	1
7.1.1.f.	- forward distance alert system?	1
7.1.1.g.	- lane departure system?	1
7.1.1.h.	- driver falling asleep guarding systems?	0
7.1.1.i.	- blocking system for communication during rolling?	0
7.1.1.j.	- safe access to all loading/unloading equipment? <i>Assessor: The company does not operate skeleton trailers or transport tank containers.</i>	-
7.1.1.k.	- truck management system ?	1
7.1.1.l.	- remote controlled bottom valve when liquids are transported?	-
7.1.1.m.	- ground operated vent valve?	-
7.1.2.	Is a DIN 80 PN 10 flange available between the outlet valve and the cap of every (un)loading connection?	-
<b>7.2.</b>	<b>Equipment Inspection, Maintenance and Calibration</b>	
<b>7.2.1.</b>	<b>Equipment Inspection and Maintenance</b>	
<b>7.2.1.1.</b>	<b>Is there a documented programme for preventive inspection and maintenance covering the following items:</b>	
7.2.1.1.a.	- tractor units ? <i>Assessor: 6-weekly intervals</i>	1
7.2.1.1.b.	- trailers ? <i>Assessor: Depending on the usage of the trailer, the service interval is 6 or 8 weeks.</i>	1
7.2.1.1.c.	- tanks/tank containers ?	-
7.2.1.1.d.	- pumps ?	-
7.2.1.1.e.	- compressors ? <i>Assessor: no compressors fitted</i>	-
7.2.1.1.f.	- tyres ? <i>Assessor: Tyres are checked during every service. In addition a tyre service company is retained which would check the trailer and tractor tyres on a monthly basis. The tyre service company maintains an register of</i>	1
7.2.1.1.g.	- earthing points ?	-
7.2.1.1.h.	- twist locks ?	-
7.2.1.1.i.	- cargo securing devices and materials ? <i>Assessor: All of this equipment is checked by the driver daily and he confirms this on his daily start-up check list, which is an app on his smartphone.</i>	1
7.2.1.1.j.	- ADR equipment? <i>Assessor: This is checked daily by the driver and twice annually a detailed check will be conducted by transport office staff and documented.</i>	1
7.2.1.1.k.	- valves and relief valves ?	-
7.2.1.1.l.	- couplings ?	-
7.2.1.1.m.	- gaskets/seals ?	-
7.2.1.1.n.	- gauges ? <i>Assessor: no liquid cargo is transported</i>	-
7.2.1.1.o.	- temperature control units? <i>Assessor: not fitted</i>	-
<b>7.2.1.2.</b>	<b>Is there a written procedure and register in place for the periodic (at least annual) testing of flexible hoses, which includes the following elements :</b>	
7.2.1.2.a.	- compatibility of the hose and cargo ?	-
7.2.1.2.b.	- identification of different types and numbering ?	-
7.2.1.2.c.	- periodic inspection and recording of results ?	-
7.2.1.2.d.	- periodic pressure testing ?	-
7.2.1.2.e.	- electrical conductivity ?	-
<b>7.2.2.</b>	<b>Calibration of Measuring Equipment</b>	
7.2.2.1.	Has the assessed company a register of measuring equipment to be calibrated? <i>Assessor: The company does not have any measuring equipment.</i>	-

*The torque wrench and the pressure gauge is owned by the tyre service company, which is ISO 9001:2015 registered.*

<b>7.2.2.2.</b>	<b>Are written calibration procedures and records in place, including the identification of the following measuring equipment ?</b>	
7.2.2.2a.	- oxygen meters ? <i>Assessor: The company does not have any measuring equipment.</i>	<input type="text" value="-"/>
7.2.2.2b.	- flammable gas detectors ? <i>Assessor: The company does not have any measuring equipment.</i>	<input type="text" value="-"/>
7.2.2.2c.	- instruments for measuring concentrations of toxic gases and vapours ? <i>Assessor: The company does not have any measuring equipment.</i>	<input type="text" value="-"/>
7.2.2.2d.	- temperature gauges ? <i>Assessor: The company does not have any measuring equipment.</i>	<input type="text" value="-"/>
7.2.2.2e.	- tyre pressure gauges ? <i>Assessor: The company does not have any measuring equipment.</i> <i>The pressure gauge is owned by the tyre service company, which is ISO 9001:2015 registered.</i>	<input type="text" value="-"/>
7.2.2.2f.	- torque wrenches for tightening wheel nuts ? <i>Assessor: The company does not have any measuring equipment.</i> <i>The torque wrench is owned by the tyre service company, which is ISO 9001:2015 registered.</i>	<input type="text" value="-"/>

<b>8.</b>	<b>Behaviour Based Safety (BBS or equivalent programme)</b>		Y/N
<b>8.1.</b>	<b>Behaviour based safety for safe driving</b>		
<b>8.1.1.</b>	<b>BBS Training for Safe Driving</b>		
8.1.1.1.	Is BBS taken into account when reviewing the training requirements of managers and planners ? <i>Assessor: A BBS introduction session is part of the induction training of managers or planners and the employee signs that they have participated.</i>		1
8.1.1.2.	Have persons been formally selected and designated as qualified BBS trainers, in accordance with the requirements as defined in the Cefic/ECTA BBS guidelines ? <i>Assessor: An experienced driver has attended additional training to qualify as driver trainer. An internal trainer has been appointed to train warehouse operatives.</i>		1
8.1.1.3.	Has the BBS driver training content (or equivalent system) and format (based on observation, coaching and interactive communication) been developed and is it in line with the Cefic/ECTA BBS guidelines? <i>Assessor: The company is presently on BBS level 2.</i>	RC	1
8.1.1.4.	Has the BBS driver training frequency been defined and is it implemented ? <i>Assessor: The regular frequency of BBS training for drivers is three years. If an incident investigation uncovers the need for re-training, this would be taken into account.</i>		1
8.1.1.5.	Is a personal BBS-record kept on each driver, including the fully integrated subcontractors, with the observations made on their behavioural skills ? <i>Assessor: All BBS records are kept in the respective driver file, and samples were made available at request for a review.</i>		1
<b>8.1.2.</b>	<b>BBS Results, Analysis and Monitoring</b>		
8.1.2.1.	Are individual results from the BBS training communicated to the driver, preventive actions agreed, recorded and followed-up ? <i>Assessor: The results are communicated during the de-briefing after the assessment, and the driver signs that the results had been communicated.</i>	RC	1
<b>8.1.2.2.</b>	<b>Are key performance indicators identified and measured, such as :</b>		
8.1.2.2a.	- accidents and incidents whilst in transit?		1
8.1.2.2b.	- accidents and incidents at loading points?		1
8.1.2.2c.	- accidents and incidents at unloading points?		1
8.1.2.2d.	- Lost Time Injury Rate?		1
8.1.2.2e.	- Personal Injury Rate?		1
8.1.2.2f.	- average days of training per year? <i>Assessor: This is calculated on a depot basis.</i>		1
8.1.2.2g.	- damages ?		1
8.1.2.3.	Is an implementation programme in place for the observation and spot checking of drivers in relation to the performance of the driver? Are daily check lists recorded by drivers included in the spot checks? <i>Assessor: The regular assessment interval is 3 years. Spot checks on drivers when conducting the start-up checks are conducted and in addition, unscheduled spot checks are conducted and the results are included in the BBS review.</i>		1
8.1.2.4.	Are the results and learning outcomes from BBS reflected in the refresher programmes ? <i>Assessor: The regular BBS assessment is defined by the company as the refresher training. The BBS driver refresher and the BBS warehousemen refresher addresses the KPI results.</i>	RCimp	1
<b>8.2.</b>	<b>Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles</b>		
8.2.1.	Has the management also adopted the Cefic/ECTA guidelines on "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles"? <i>Assessor: The gist of the document has been adopted into the company documentation. For tail lift deliveries, Coates have developed a pre-delivery risk assessment, which the driver has to complete and which is archived.</i>	RC	0
<b>8.3.</b>	<b>Awareness of all service partners</b>		
<b>8.3.1.</b>	<b>Does the company promote and monitor the implementation of the following BBS principles with its service partners :</b>		
8.3.1a.	- driving?		1
8.3.1b.	- loading?		1
8.3.1c.	- unloading?		1
8.3.1d.	- cleaning?		1

<b>9.</b>	<b>Management of transport greenhouse gas (GHG) emissions</b>	Y/N
9.1.	Does the assessed company have a system to collect data enabling energy (fuel)-based calculation of its transport GHG emissions for all own trucks whose fuel is paid by the company ?	1
9.2.	Does the assessed company have a system to calculate transport GHG emissions (expressed as CO2 equivalent per ton.km) using the data collected in question 9.1? <i>Assessor: The calculation is based on the information on emissions supplied by the truck manufacturers.</i>	1
9.3.	Does the assessed company have a system to collect data enabling energy (fuel)-based calculation of the transport GHG emissions from their Fully Integrated Subcontractors (FIS)?	-
9.4.	Does the assessed company have a system to calculate the transport GHG emissions of the FISs based on data collected according to question 9.3?	-
<b>9.5.</b>	<b>Does the assessed company have a programme to reduce its transport GHG emissions, as per 9.2 and 9.4, that includes the following measures:?</b>	
<b>9.5.1.</b>	<b>Educational</b>	
9.5.1.1.	Are transport planners trained in payload optimisation and empty mileage reduction?	1
<b>9.5.2.</b>	<b>Transport equipment</b>	
9.5.2.1.	State-of-the-art trucks?	1
9.5.2.2.	Low-resistance tyres?	1
9.5.2.3.	Tyre pressure monitoring system (TPMS)? <i>Assessor: Tyre pressure is monitored regularly. Trucks have indirect pressure monitoring through the ABS system.</i>	0
9.5.3.	Alternative energy sources?	0
9.6.	Does the assessed company collaborate with its customers to reduce transport GHG emissions? <i>Assessor: The Hazchem network has been set up to consolidate pallet loads and as such is an example of the collaboration.</i>	1

		Y/N
<b>10.</b>	<b>Security</b>	
<b>10.1.</b>	<b>Security in transport</b>	
<b>10.1.1.</b>	<b>Does the company implement measures to ensure the security of the products and transport information throughout the chain of its service partners, including at :</b>	
10.1.1.a.	- depots and vehicle parking?	1
10.1.1.b.	- cleaning stations ?	-
10.1.1.c.	- at the interface with any subcontracted road transport company ?	1
10.1.1.d.	- at the interface with intermodal transport?	-
10.1.2.	Is the handover/transfer of security, with the associated responsibilities, signed and documented ? <i>Assessor: A sample of the documentation attached to recent transport jobs was reviewed to confirm that hand over is signed and documented.</i>	1
10.1.3.	Are devices, equipment or arrangements to prevent the theft of vehicles applied and are measures taken to ensure that these are operational and effective at all times ? <i>Assessor: The driver has his own key to lock the vehicle, the spare keys are kept in the office in a safe. The cabin is alarmed when locked. The vehicle can be tracked.</i>	1
10.1.4.	Are truck cabs fitted with access control systems ?	0
10.1.5.	Are trucks fitted with an engine starting control system ?	1
10.1.6.	Are trailers irrespective of the type fitted with security device(s) preventing theft when they are decoupled? <i>Assessor: Kingpin locks are in use.</i>	1
10.1.7.	Where applicable, has the company developed and implemented security provisions for transport of sensitive products (high value products, explosive precursors, chemical weapons precursors or illicit drug precursors)? <i>Assessor: The company reports that they do not transport any of these products.</i>	-
10.1.8.	Is a procedure in place to ensure that security incidents regarding sensitive products are immediately reported to customers and authorities? <i>Assessor: see comment 10.1.7</i>	-
<b>10.2.</b>	<b>Security during handling of High Consequence Dangerous Goods</b>	
10.2.1.	Has a security plan been developed and implemented for High Consequence Dangerous Goods (HCDG) in accordance with section 1.10 of ADR ?	-
10.2.2.	Does the company have measures to monitor the movement of HCDG whilst in transit ?	-
10.2.3.	Are all fully loaded freight containers, tank containers, truckload and railcars containing HCDGs, sealed and the seal numbers provided separately (electronically or on paper) ?	-
10.2.4.	Are seal discrepancies for HCDG investigated thoroughly, the shipment rejected if necessary, security personnel notified and extreme care taken if there is evidence of seal tampering ?	-
10.2.5.	Are drivers (own and FIS) required to call-in periodically if there is no localization by Electronic Tracking and Tracing Tools (e.g. GPS) available?	-

			Y/N
<b>11.</b>	<b>Control of operations</b>		
<b>11.1.</b>	<b>Customer Interface</b>		
<b>11.1.1.</b>	<b>Do you have information from the chemical customer to effect a safe collection/delivery? This should include as a minimum :</b>		
11.1.1.1a.	- the split of responsibilities agreed between driver and operators at (un)loading site (BBS loading/unloading) ? <i>Assessor: All cargo transported is in packaged form. The driver is only involved in loading or unloading operations, other than strapping down, when he does a tail lift delivery.</i>		1
11.1.1.1b.	- handing in the ECD document?		-
11.1.1.1c.	- site access requirements including PPE? - checking the leakproofness of the closing devices after (un)loading ? - the documents accompanying the (un)loading process (before/during/after) ? - equipment requirements? - cargo securing ?		1
11.1.2.	Is there a written proof of the management commitment to support the driver according to the "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles " <i>Assessor: The SULID document is presently not in use.</i>		0
<b>11.2.</b>	<b>Planning and Communication</b>		
<b>11.2.1.</b>	<b>Order Planning and Processing</b>		
11.2.1.1.	Is there a written procedure for transport order processing , segregation of goods and vehicle scheduling ? <i>Assessor: A sample of documentation was reviewed. The maintenance schedule is adhered to.</i>		1
11.2.1.2.	Has the company a documented process to control its services from loading point to delivery at the final consignee ? <i>Assessor: A sample of documentation was reviewed.</i>		1
11.2.1.3.	Are all customer instructions and requirements followed through the complete supply chain?		1
11.2.1.4.	Does the planning section communicate relevant information and instructions to the driver/subcontractor, including, but not limited to : - route criteria (including approved parking locations, tunnel codes) ? - additional national transport regulations in other countries (for international transport) ? - consignor/consignee details ? - product compatibility (multi loads) ? - product compatibility (previous loads) ? - customer specific HSE requirements? <i>Assessor: The transport planners communicate the necessary information to the driver. The company only transport nationally. Any segregation requirements would be communicated.</i>		1
11.2.1.5.	Does the company have, for all journey's exceeding 4,5 driving hours, a Journey Risk Assessment system in place that supports the driver to manage his journey, via a documented Journey Plan that contains the authorized route, known route hazards, safe and secure vehicle parking and authorized rest stops? <i>Assessor: The driver handbook instructs the driver, and the company has conducted a risk assessment which concluded that drivers should plan the route themselves and this includes stopping for breaks.</i>		0
11.2.1.6.	Are there written procedures in place to ensure that the maximum allowable weight in the various countries is not exceeded? <i>Assessor: Only national transports are planned in this depot.</i>		-
11.2.1.7.	When drivers are requested by consignors or consignees to draw a sample from the top of the vessel, is there a written procedure to provide feedback to the consignor or consignee, and that this communication is followed up?	RC	-
11.2.1.8.	When drivers are requested by consignors or consignees to work on top of the vessel and no (proper) fall protection is available, is there a written procedure to provide feedback to the consignor or consignee, and that this communication is followed up?	RC	-
11.2.1.9.	When drivers are requested by consignors or consignees to discharge a bulk truck or container directly into Drums or IBCs, is there a written procedure to provide feedback to the consignor or consignee and that this communication is followed up?	RC	-
11.2.1.10.	Do you receive and forward to all of your supply chain partners all the necessary instructions for multimodal shipments?		-
<b>11.2.2.</b>	<b>Tank Cleaning</b>		
11.2.2.1.	Have all cleaning stations of tankers/tank containers been assessed against SQAS for Cleaning Stations (or equivalent assessment system) ?	RC	-



11.2.2.2.	Has the company analysed the assessment reports of the cleaning stations used and agreed an improvement action plan, with defined responsibilities ?	RC	-
11.2.2.3.	Is it ensured that all the cleaning stations used have permits for the products cleaned ?	RC	-
11.2.2.4.	Is there evidence that relevant information about the previous load is provided to the cleaning station as a formal order?		-
<b>11.3.</b>	<b>Operations</b>		
<b>11.3.1.</b>	<b>Driver instructions (Driver Manual)</b>		
11.3.1.1.	Is there a drivers manual that is distributed to all drivers (own and FIS) in a language they can understand ?		1
11.3.1.2.	Have drivers (own and FIS) been trained in the content of the drivers manual ? <i>Assessor: As part of the induction training, confirmed through interview with a driver. A quiz has to be completed by the driver to ensure that he has read the handbook.</i>		1
11.3.1.3.	Is the drivers manual updated regularly ?		1
11.3.1.4.	Are there detailed instructions in the available driver manual regarding the following topics?: - BBS principles - incident and near miss reporting - use of seat belt - use of company or private mobile phone - use of drugs and alcohol - actions to be taken in an emergency - security - inspection prior to loading - loading procedures - prescribed documentation, including instructions in writing, is on board - safety equipment required by legislation - after loading, verification that the vehicle and load have no obvious defects, leakages, cracks, missing equipment - after loading, verification that the vehicle is not overloaded - after loading, verification that danger labels and markings (orange plates) prescribed for the vehicles, have been affixed (ADR and IMDG goods) - operating/driving restrictions during bad weather conditions ? - actions to be taken if, during the journey, an infringement which could jeopardize the safety of the transport, is observed (ADR goods) - unloading procedures - observation of instructions/practices at loading and unloading sites and reporting of unsafe conditions - use of wheel chocks (to avoid uncontrolled vehicle movement) - defect reporting and rectification system - pre-start checklist - use of standard PPE - fall arrest harness - PPE for special products - entry into confined space? - If the container is used for bulk solids, is it tipped in stages, e.g., one ram at the time, to prevent product surge? <i>Assessor: All issues listed are addressed in the driver handbook, with the exception of 'entry into confined spaces' which is irrelevant, since only packaged goods are transported on rigid or flatbed curtain side trailers.</i>		1
11.3.1.5.	Does the drivers manual contain, in addition, specific detailed instructions for BULK GOODS, regarding : - visual inspection of tanks, valves and hoses for cleanliness ? - correct hose connection and valve operation ? - correct operation of any transfer equipment ? - equipotential electrostatic bonding/earthing ? - the use of correct equipment to tighten couplings? - a check on gaskets and seals prior to use?		-
11.3.1.6.	Does the drivers manual contain, in addition, specific detailed instructions for PACKAGED GOODS, regarding : - inspection of the cargo compartment for cleanliness and potential risks (e.g. nails) ? - stowage and cargo securing ? - product compatibility and segregation ? <i>Assessor: All issues mentioned are addressed in the driver handbook.</i>		1
<b>11.3.2.</b>	<b>Pre-Start Checks</b>		
<b>11.3.2.1.</b>	<b>Is a pre-start list filled in by the driver including the following</b>		

	<b>items:</b>	
11.3.2.1a.	- inspection of vehicle for damage ?	1
11.3.2.1b.	- lubricating oil level and pressure check ?	1
11.3.2.1c.	- brake operation ?	1
11.3.2.1d.	- condition of tyres ?	1
11.3.2.1e.	- lights ?	1
11.3.2.1f.	- inspection of vehicle for leakage ?	1
11.3.2.1g.	- tightness of wheel nuts ?	1
11.3.2.1h.	- fire extinguishers ?	1
11.3.2.1i.	- every PPE required ? <i>Assessor: The driver is issued standard PPE. All PPE necessary for the transport of ADR cargo is placed in a separate box which is sealed. The contents of this box is checked every 6 months, and this is documented.  In his daily start-up checklist, the driver confirms that his ADR box is on board.</i>	1
11.3.2.1j.	- wheel chocks ?	1
11.3.2.1k.	- eye wash bottles? <i>Assessor: All PPE necessary for the transport of ADR cargo is placed in a separate box which is sealed. The contents of this box is checked every 6 months, and this is documented.  In his daily start-up checklist, the driver confirms that his ADR box is on board.</i>	1
11.3.2.1l.	- drain seal and absorption material? <i>Assessor: This would be included in the ADR box. The contents of this box is checked every 6 months, and this is documented.  In his daily start-up checklist, the driver confirms that his ADR box is on board.</i>	1
11.3.2.1m.	- emergency remote controls on bottom valve?	-
11.3.2.1n.	- no cracks in the front wind screen	1
<b>11.4.</b>	<b>Administration</b>	
<b>11.4.1.</b>	<b>Controls of drivers</b>	
11.4.1.1.	Is the driver (own and FIS) required to keep and to sign a daily worksheet that includes that the vehicle is fit for purpose?	1
11.4.1.2.	Is there a system that checks on the maximum number of driving hours and minimum rests of driver by day/week/fortnight ?	1
11.4.1.3.	Does the company have a system to restrict the driver's use of communication devices during moving (Including message sending, mobile phone, GPS)?	0
<b>11.5.</b>	<b>Temporary storage and internal transfer of packaged goods</b>	
11.5.1.	Does the company have a specific written procedure for the transfer and temporary storage of goods ? <i>Assessor: chapt. 6.6.1 in the warehouse operator's handbook</i>	1
11.5.2.	Are all goods on site stored and segregated as per legal requirements and are the correct product details available during internal transfer and temporary storage ?	RC 1
11.5.3.	Have the employees involved in the transfers of goods received appropriate training and have adequate personal protection?	1
11.5.4.	Is the transfer and temporary storage of liquid materials carried out in an area with an impervious surface ? <i>Assessor: All storage and handling areas are concreted. No decanting is done on site.</i>	1
11.5.5.	Is there a written procedure for cargo securing according to the guidelines? <i>Assessor: The driver handbook contains instructions and information material on cargo securing.</i>	1
<b>11.6.</b>	<b>Transport of dry products including plastics and polymers</b>	
11.6.1.	Is there a written procedure in place which requires the driver to verify if, during loading and unloading, lost pellets are properly removed from the outside of the transport equipment before leaving the loading/unloading site? <i>Assessor: The standard spill removal procedure also covers plastic pellets or flakes.</i>	1
11.6.2.	Are there written instructions and precautions that the driver must take into account when unloading polymers in bulk?	-
11.6.3.	Are there written instructions and precautions that the driver must take into account when unloading bulk chemicals by tipping of Silo trucks/ Trailers, Silo Containers and bag-in-box containers?	-
11.6.4.	If rotary valve is used for discharge: is it fitted with an interlocked safety guard to prevent access when the blades are in motion?	-
11.6.5.	Are all twist locks checked before loading/discharge?	-
11.6.6.	Is the electrical resistance to earth of the earthing wire less than 10 ohms?	-

		Y/N
<b>12.</b>	<b>Specific types of Transport Services and their activities</b>	
<b>12.1.</b>	<b>Transfer Terminal for Container/Vehicle operations</b>	
12.1.1.	Does the assessed company have the correct licenses to store and handle any hazardous contents of the transport units intended to be sent there.	-
12.1.2.	Does the terminal meet the customer's and/or the industry specific security requirements ?	-
12.1.3.	Does the terminal's rolling and lifting equipment meet the national legal requirements?	-
12.1.4.	Is there a documented programme for preventive inspection and maintenance for cranes, rolling and lifting equipment?	-
12.1.5.	Is there a documented programme for the training of drivers/operators of cranes, rolling and lifting equipment ?	-
12.1.6.	Is there a segregation plan applied when storing shipping containers? This must include loaded containers, empty uncleaned containers and empty clean containers	-
12.1.7.	Is traffic adequately managed (signs, road marks, flow directions, speed limits) and enforced?	-
12.1.8.	Are effective systems in place to ensure that no unauthorized persons are present in container handling areas ?	-
12.1.9.	Is a maximum stack height of tank containers / containers defined in a written procedure and enforced?	-
12.1.10.	Are unaccompanied transferred units visually inspected for leaks and damage, both on arrival/departure through the EIR (Equipment interchange Receipt) and at regular intervals when temporarily stored?	-
12.1.11.	Is there a containment system for leaks and spillages, which also allows for isolation from site drainage ?	-
12.1.12.	Is a system in place to follow-up the periodical test dates of tanks approved for the transport of dangerous goods ?	-
12.1.13.	Is there a system to monitor the entry and movement of vehicles on the terminal ?	-
12.1.14.	Is there proper fall protection available to work safely on top of tank containers to install portable handrails?	-
12.1.15.	Is the floor where the containers are stored impervious to prevent the possible spills draining through the ground/groundwater?	-
12.1.16.	Is there a procedure requiring regular documented inspection rounds in order to detect deficient flooring?	-
12.1.17.	Does the site have a skid, mobile unit or bunded segregated area to manage the small spillages which cannot be stopped or contained by absorbent materials etc.?	-
12.1.18.	For large spillages and significant loss, does the site have a location or equipment that could hold the "total lost" volume of a container?	-
12.1.19.	Is a written procedure present to evaluate all specific customers' requirements regarding the transfer and temporary storage of goods?	-

RC

RC

			Y/N
<b>13.</b>	<b>Site Inspection and Site operations</b>		
<b>13.1.</b>	<b>Site inspection</b>		
13.1.1.	Is the site properly secured with fences and gates, well lit and not accessible to the general public ? <i>Assessor: Coates in Grangemouth operate from two separate sites, which are on opposite sides of the road. Warehouses No. 1-5 are located at the North site, whereas warehouses No. 6-8 are located at the South site. Both sites are properly secured with a steel palisade fence, approx. 6 ft high. North site: The gate is kept open, and can easily be monitored through the CCTV from the traffic office. In theory, members of the general public could enter through the exit gate. Warehouse operatives or shunting drivers would immediately challenge any member of the general public. South site: the gate is left open, and the entrance is monitored from the traffic office and unauthorised visitors would be stopped immediately.</i>		0
13.1.2.	Is there a system to monitor the entry and movement of vehicles on site ? <i>Assessor: The traffic flow of vehicles is a well laid-out one way system. All visitors park their car in the visitor car park, and are not allowed to enter the site with their car. The CCTV enables vehicle movement monitoring.</i>		1
13.1.3.	Are emergency exits marked on buildings and unblocked ?		1
13.1.4.	Are signs for site identification and public safety in place ?		1
13.1.5.	In the event of an emergency, is there an assured method for safe evacuation of all personnel and is this publicly displayed ?		1
13.1.6.	Is the emergency assembly point clearly displayed?		1
13.1.7.	Is there a site lighting system ?		1
13.1.8.	Is the site paved according to the requirements and the activities that are taking place ?		1
13.1.9.	Is the condition of roadways and parking area of an acceptable and safe standard ?		1
13.1.10.	Are there designated walkways away from truck traffic ?		1
<b>13.2.</b>	<b>Site operations</b>		
<b>13.2.1.</b>	<b>Is there a documented programme for preventive inspection and maintenance covering the following items :</b>		
13.2.1a.	- site compressed air system ? <i>Assessor: not installed</i>		-
13.2.1b.	- storage tanks (including fuel) ? <i>Assessor: All tanks on site are inspected annually and reports are archived. There is incomplete documentation that the advisories have been dealt with.</i>		0
13.2.1c.	- electrical installation ? <i>Assessor: last 5-yearly inspection: 01.08.2018, last annual inspection of the ATEX warehouse: 16.01.2020</i>		1
13.2.1d.	- fall protection equipment? <i>Assessor: not installed on site</i>	RC	-
13.2.1e.	- other equipment subject to regulatory requirements such as elevators, forklift trucks, hoisting equipment, emergency equipment and installations, ...? <i>Assessor: Forklifts and scissor lift are in use in the warehouses and the maintenance is documented. Samples were available at request for a review.</i>		1
<b>13.2.2.</b>	<b>Are there comprehensive written procedures at the facility including work permit requirements, to ensure safety and to avoid exposure to hazardous materials, for the following operations :</b>		
13.2.2a.	- entry into confined spaces ? <i>Assessor: The transport department has no confined spaces, as only packaged goods are transported. Please refer to qu. WH 10.1.4a for confined spaces in the warehouses.</i>	RC	-
13.2.2b.	- breaking of containment (pumps/compressors/lines) ? <i>Assessor: such work is not done on site</i>	RCimp	-
13.2.2c.	- hot work ? <i>Assessor: Recent examples were available at request for a review.</i>		1
13.2.2d.	- work on electrical circuits/equipment (lock out system) ? <i>Assessor: not installed on site</i>		-
13.2.3.	Are contractors, working on site other than logistics service contractors, provided with relevant health, safety, security, environmental and CSR information to ensure that on site services are performed safely? <i>Assessor: The CSR policy information is displayed on the induction video screen in the reception lobby, which all visitors and contractor have to watch before they sign the visitor log.</i>	RCimp	1
<b>13.2.4.</b>	<b>Are there also comprehensive written procedures / instructions at the facility for the following operations :</b>		
13.2.4a.	- clean up and disposal of chemical spillages ?		1
13.2.4b.	- parking segregation for vehicles carrying different classes of hazardous product ?		-

Assessor: All tank trucks parked in the South site parking space which is rented to another haulage company are loaded with the same product. Coates monitor the number of trucks parked, but do not operate them.			
13.2.4c.	- safe loading/unloading practices ?	RCimp	1
13.2.4d.	- cargo securing ?		1
<b>13.3.</b>	<b>Maintenance workshop</b>		
13.3.1.	Are eyewash bottles and safety shower systems available in determined areas within the work area ?		-
13.3.2.	Are caution signs installed (no smoking, eye protection, helmet, etc.) and are staff using the required personal protection equipment ?		-
13.3.3.	Is a fall restraint system in place for workshop operators who carry out repair activities on top of tanks or (tank)containers?	RC	-
<b>13.4.</b>	<b>Bulk Storage Tanks (Fuel, Fuelling Area and Waste Storage)</b>		
13.4.1.	Are the storage facilities approved for the goods stored, identified/labelled accordingly, monitored and maintained? <i>Assessor: All tanks on site are inspected annually and reports are archived. There is incomplete documentation that the advisories have been dealt with.</i>	RC	0
13.4.2.	Is explosion-proof equipment installed if handling flammables ? <i>Assessor: No flammables are stored in tanks other than kerosene and diesel fuel.</i>		-
13.4.3.	Is an impervious floor in place at the fuelling area?		1
<b>13.5.</b>	<b>Vehicles and other equipment (trailers, tank containers, IBC's etc.)</b>		
<b>13.5.1.</b>	<b>Are the following items on the vehicles and equipment of an acceptable standard :</b>		
13.5.1a.	- condition of the tyres ? <i>Assessor: visual inspection during driver interview</i>		1
13.5.1b.	- documentation in the cab ?		1
13.5.1c.	- condition of cargo securing devices ?		1

		Y/N
<b>14.</b>	<b>Handling practices of Food, Food contact Materials and Feed Products</b>	
<b>14.1.</b>	<b>Is the company applying GMP, GMP+ and/or HACCP principles to the operations ?</b>	
14.1.1.	Are there GMP/GMP+/HACCP (or similar) principles as part of the quality system ?	-
14.1.2.	Is there an adequate contamination and degradation prevention written procedure implemented and maintained based upon a risk assessment ?	-
14.1.3.	Does the management of change procedure consider the impact of changes on the final product quality, performance, composition and regulatory compliance status?	-
<b>14.2.</b>	<b>Does the company's personnel policy comply with the special requirements for the handling of Food, Food Contact Materials / Animal Feed Products ?</b>	
14.2.1.	Has the company qualified employees (including administrative personnel) according to a written criteria for the operations of Food, Food Contact Materials / Animal Feed Products?	-
14.2.2.	Have all (including administrative) personnel, involved in the handling and distribution of Food, Food Contact Materials / Animal Feed products been made aware of the health risks.	-
14.2.3.	Is there a person with the specific responsibility, the appropriate education and the appropriate authority to deal with Food, Food(contact) - Feed issues in your company ?	-
<b>14.3.</b>	<b>Are traceability and product conformity issues sufficiently implemented in all processes ?</b>	
14.3.1.	Is the company able to provide full traceability on product origin and product destination and its own operations ?	-
<b>14.4.</b>	<b>Are there written procedures in place and documentation available to ensure consistency of product quality ?</b>	
14.4.1.	Is it ensured that bulk transport equipment and containers received and delivered are properly sealed (if so required)?	-
14.4.2.	Are banned lists for particular products available?	-
<b>14.5.</b>	<b>Are there appropriate precautions taken to avoid cross-contaminations and degradation during operations ?</b>	
14.5.1.	Is it ensured that contamination/cross contamination through transport equipment is prevented ?	-
14.5.2.	Is the water and the disinfection products that comes into contact with the food, food contact materials / animal feed materials of a proven suitable quality?	-
14.5.3.	Is each piece of equipment designed and used in a manner that minimizes the potential for contamination or degradation of the product with lubricants, coolants, metal fragments, or other extraneous materials e.g. from pressurized air ?	-
<b>14.6.</b>	<b>Are there adequate and appropriate hygiene measures maintained ?</b>	
14.6.1.	Are sufficient hygiene measures documented, implemented, validated and maintained for personnel, cleaning, warehouses and transportation?	-
<b>14.7.</b>	<b>Are written procedures in place for product complaint handling, product recall and incident management?</b>	
14.7.1.	Is there a product complaint handling/non conformity procedure?	-
14.7.2.	Is there a product recall procedure?	-
14.7.3.	Is the product recall procedure tested?	-
<b>14.8.</b>	<b>Are written procedures in place for internal audits?</b>	
14.8.1.	Is there a documented plan for internal auditing of all areas, referenced to the GMP/GMP+ and HACCP questionnaire?	-
<b>14.9.</b>	<b>Are appropriate loading and unloading written procedures in place ?</b>	
14.9.1.	Is there a procedure in place that requires the driver/operator to open only one tanklid at a time during loading ?	-
<b>14.10.</b>	<b>Is the entire equipment in contact with products designed to protect product quality?</b>	
14.10.1.	Is the loading equipment in contact with products dedicated, or, are validated cleaning procedures applied between loadings ?	-
14.10.2.	Is the unloading equipment in contact with products dedicated, or are validated cleaning written procedures applied between unloadings ?	-
14.10.3.	Is all the equipment in contact with products identified ?	-
14.10.4.	Is all the equipment in contact with products capped and/or properly stored after the operation, according to written procedures ?	-
14.10.5.	Does the assessed company seal all valves and openings after loading ?	-

14.10.6.	Does the assessed company seal all valves and openings after cleaning ?	<input type="text" value="-"/>
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<b>14.11.</b>	<b>Are there appropriate written procedures in place in relation to Animal Feed?</b>	
14.11.1.	Is there a written procedure in place for the cleaning regime in accordance with the GMP+ Animal Feed product database requirements?	<input type="text" value="-"/>
14.11.2.	Is there a written procedure in place on how to work with the GMP+ Animal Feed Product Database and its updates?	<input type="text" value="-"/>
14.11.3.	Is there a written procedure in place for the order planning in accordance with the GMP+ Animal Feed product database requirements?	<input type="text" value="-"/>
14.11.4.	Is there a written procedure in place to establish the Animal Feed product category of a new product to be transported?	<input type="text" value="-"/>
14.11.5.	Does the company have a written procedure in place to follow the GMP+ Animal Feed required steps, that would allow the re-use of cargo compartments, incl. tanks, after the carriage of any product included in the list of forbidden products?	<input type="text" value="-"/>

**Comment of assessor:**

**Comments of assessed company:**



## Improvement Action Program:

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**Website reference:** ---

**Updated on:**