



H. W. Coates Limited Middlewich, Cheshire

on 08-12-2020

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

Report:	88217a (Submitted)	Module:	Transport Service
Companyname:	H. W. Coates Limited	Re-assessment:	08-12-2020 by Nielsen, D.
Location:	Middlewich, Cheshire (United Kingdom)	Expires on:	08-12-2023
Website:	www.hwcoates.co.uk	Company type:	Stand-alone, More than 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 Limited
Location (=Town/City)	Middlewich, Cheshire
Country	GB
Postal code	CW10 9NT
Postal Address	Middlewich Road, Byley, Middlewich, Cheshire
Phone	+44 (0) 1606 833314
Website	www.hwcoates.co.uk
1. Contact Person	Matthew Coates
Email	matthew@hwcoates.co.uk
2. Contact Person	Andy Colbourne
Email	acolbourne@hwcoates.co.uk
3. Contact Person	Pamela Sanger
Email	psanger@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)	More than 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	86076a
2. Report number	86076b
3. Report number	

0.1.5. Assessment dates and duration

Assessment dates and duration

	Date	Duration (number of days)
Core or ESAD Di assessment	07-12-2020	1

Specific assessment 1	08-12-2020	1.5
Specific assessment 2	09-12-2020	1.5
Previous Core or ESAD Di assessment		
Previous Specific assessment 1		
Previous Specific assessment 2		

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

	Name	Location
General Manager	Matthew Coates	Middlewich
Operations Manager	Mike Perks	Middlewich
Quality Assurance Manager	Andy Colbourne	Hinckley
Safety & Health Manager	Andy Colbourne	Hinckley
Environmental Manager	Andy Colbourne	Hinckley
Dangerous Goods Safety Advisor	Robert Symes	Hinckley
	Number Certificate DGSA	Valid until
	2927429/200113	14-01-2025
Security Advisor	Robert Symes	Hinckley

0.2.2.

Systems Certifications

Type	Accredited Certification Body	Scope	Registration Number	Expiry Date
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	
0.2.4.	Infrastructure	
	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	Y
	Railway connection	N
	Waterway connection	N
0.2.5.	Incident response	
	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.
	Description of the local fire brigade (manpower, equipment, response time)	Middlewich Station is approx. 4 mins away, 24/7 manned
0.2.6.	Emergency equipment	
	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.
0.2.7.	Valid Operating License	
	Number	OC1099995
	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	
0.3.	Transport services	
0.3.1.	Site information	
	Operational activities present at the site	Y
0.3.2.	Main Activities	
	Road transport service bulk liquids	N
	Road transport service bulk solids	N
	Road transport service packed goods	Y
	Intermodal transport	N
	Freight forwarder	N
0.3.3.	Subactivities	
	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
0.3.4.	Geographical coverage	
	National transport	Y
	International transport	N
0.3.5.	Categories of drivers	
	Own company drivers	Y
	Number of own company drivers	19
	Fully integrated subcontractors	N
	Number of fully integrated drivers	
	Non-integrated subcontractors	Y
	Average number of non-integrated trucks per year	4
	Spot subcontracting	N
	Average number of shipments per year	
	Number of operators (others than drivers)	4
0.3.6.	Type of equipment	
	Own company trucks	Y
	Own company packed goods trailers	Y
	Own company bulk trailers	N
	Own company containers	N

	Own company container chassis	N
0.3.7.	Subcontractor services includes	
	Trucks	Y
	Trailers /tanks	Y
	Containers	N
0.3.8.	Products	
	Tonnage of chemicals transported/handled per year	129046
	Are dangerous goods transported/handled?	Y
	% dangerous goods in regard to the total tonnage	32
	Does the company handle/transport HCDG goods (ADR 1.10)?	Y
	Classes of products transported	
	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?	Y
	Flammable gases : tank > 3000l Toxic gases (excl. Aerosols)	
	Class 3 : Flammable liquids	Y
	Are these products High Consequence Dangerous Goods?	Y
	Flammable liquids of packaging groups I and II : tanks > 3000l Desensitized explosives	
	Class 4.1. : Flammable solids, self-reactive substances, polymerizing substances and solid desensitised explosives	Y
	Are these products High Consequence Dangerous Goods?	N
	Desensitised explosives	
	Class 4.2. : Substances liable to spontaneous combustion	Y
	Are these products High Consequence Dangerous Goods?	N
	Packing group I : Tank > 3000l	
	Class 4.3. : Substances which in contact with water, emit flammable gases	Y
	Are these products High Consequence Dangerous Goods?	N
	Packing group I : Tank > 3000l	
	Class 5.1. : Oxidizing substances	Y
	Are these products High Consequence Dangerous Goods?	N
	Oxidizing liquids of packing group I : Tank > 3000l Perchlorates, ammonium nitrate, ammonium nitrate fertilisers and ammonium nitrate emulsions or suspensions or gels : Tanks > 3000l or Bulk > 3000l	
	Class 5.2. : Organic peroxides	Y
	Class 6.1. : Toxic substances	Y
	Are these products High Consequence Dangerous Goods?	Y
	Toxic substances of packing group I	
	Class 6.2. : Infectious substances	N
	Are these products High Consequence Dangerous Goods?	
	Infectious substances of Cat A	
	Class 7 : Radioactive material	N
	Are these products High Consequence Dangerous Goods?	
	Radioactive material see ADR table 1.10.3.1.3 for specs	
	Class 8 : Corrosive substances	Y
	Are these products High Consequence Dangerous Goods?	Y
	Packing group I : Tank > 3000l	
	Class 9 : Miscellaneous dangerous substances and articles	Y
	Transport/handling substances with specific properties	
	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	Y
	The company chooses to be assessed against the Food(contact) &N Feed chapter	
	Handling of chlorinated solvents	N
	Handling of Pharma products	Y
	Handling of Cosmetic products	Y
	Allergen free business	Y

0.3.9. Type of transport companies and tonnage transported

Type of transport	Number of subcontracted companies	Tonnage of chemicals transported (in tonnes per year)	% of chemicals transported
Own transport		40933	95%



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FIS (Fully Integrated Subcontractors)	0	0	0%
NIS - SQAS assessed	0	0	0%
NIS - non SQAS assessed	4	2000	5%
SPOT - SQAS assessed	0	0	0%
SPOT - non SQAS assessed	0	0	0%
TOTAL		42933	100%

			Y/N
C	1.	Management System and Responsibility	
C	1.1.	Management Responsibility	
C	1.1.1.	Company Policies	
C	1.1.1.1.	Does the company have a current written policy reflecting management's active commitment to:	
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/or March 2020: Quality Policy and Objectives, includes training statement, audit statement, customer complaints, and non-conformance reporting; Health & Safety Policy; Drug & Alcohol Policy; Environmental Policy; Security Policy. BBS policy statement which includes drivers, forklift drivers and office staff, signed Jan. 2020</i>	RC <input type="text" value="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 <input type="text" value="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 Middlewich is based on site. The minutes of the Management review meetings were available at request, and demonstrated the involvement of senior managers. The Safety, Health, Environment and Quality Committee meets abt. 4 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, Account Manager, Transport manager, General 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 <input type="text" value="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 employees reporting near misses to the Director. 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. The Director in charge of Middlewich conducts frequent site walkabouts and keeps records in his daily diary. Toolbox talks are e.g. initiated during management review meetings or HSEQ meetings.</i>	RC <input type="text" value="1"/>
C	1.1.2.	Roles & Responsibilities	
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 a review. All jobs have a job description, samples were available at request for a review.</i>	<input type="text" value="1"/>
C	1.1.3.	Legislation and other requirements	
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 <input type="text" value="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 samples of communication were available at request</i>	<input type="text" value="1"/>
C	1.1.3.3.	Is a regular review made of the system for compliance with legal requirements ? <i>Assessor: last review: Feb 2020</i>	<input type="text" value="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	<input type="text" value="1"/>



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goods, in accordance with legal requirements and within six months after year end?
*Assessor: The DGSA reports are covering all of H. W. Coates' depots, and include Middlewich.
2019 report iss. 19.02.2020; 2018 report: iss. 7.05.2019; 2017 report iss. 19.03.2018*

				Y/N
C	2.	Risk management		
C	2.1.	Risk assessment and mitigation measures		
C	2.1.1.	Is there a process to assess and document the Safety, Health, Environmental, Security risks and working conditions , related to all activities of the company, considering following aspects ?		
C	2.1.1.a.	- start-up of new operations/activities (e.g. new products, new routes) ? Assessor: Recent examples were available at request for a 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: Risk assessments are reviewed at least every two years, or earlier, if deemed necessary. The library of risk assessments is maintained online in the company repository. Input from all Coates' 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.	Safety		
C	2.2.1.	Personal Protective Equipment (PPE)		
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 transported out of Middlewich, which required specific PPE. Special PPE instructions are issued for the so-called tinting room, and the decanting area. Issues with PPE are raised during the monthly management meetings, and the Director in charge of Middlewich would then also raise any issues which he identified during his walkabouts.	RC	-
C	2.2.1.2.	Is the PPE regularly checked (before use and at set intervals) and replaced when required ? Assessor: All employees check their own PPE. In addition, monthly warehouse walk about checks are conducted which include PPE. All drivers are checked monthly by the transport manager or a planner when they conduct start-up checks. ADR equipment is thoroughly checked every 6 months. The driver checks daily that his ADR equipment is on board. PPE issued is recorded on form 6.2.12.		1
C	2.2.1.3.	Are instructions and training provided when category III PPE or other specific precautions are needed and used? Assessor: Specific training for nominated staff who can handle or transport hydrofluoric acid. Respirators are part of the spill kits and training is provided for warehousemen and drivers.	RC	1
C	2.3.	Health		
C	2.3.1.	Are current Safety Data Sheets, available on site from the manufacturers for all products transported and/or handled? Assessor: The product acceptance procedure can only be completed if an SDS is available. The two main customers would inform the depot, and furnish new or revised SDS. In addition, Coates have been granted access to the SDS library of the main customers. At the beginning of the year, other customers are contacted and requested to confirm that the SDS on file is still the latest version.	RC	1
C	2.4.	Security		
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: The access road to the warehouse site is CCTV monitored and visitors or lorries should pre-book, incl. name and number plate. Lorry drivers are then directed to a holding area, where they park their unit. The driver then walks back to the office with his documentation. He is then allocated a warehouse operative who will guide the driver to his allocated bay for loading or unloading. Visitors park their car directly in front of the office, register, are issued a badge and are met by their host. Visitors are accompanied at all times by staff. Contractors first register in the office, are site inducted and issued a work permit. They are then guided to the area where they intend to work. Contractors keep a copy of the work permit available at all times, so that it can easily be checked if they are authorised. When they have completed their work, the area would be inspected and then the work permit would be endorsed as 'completed'.		1
C	2.4.2.	Is there a written procedure in place, requiring documented periodical	RCimp	1

		inspections, to identify breaches in the security of the buildings/premises? <i>Assessor: The entry gate is monitored during regular working hours by a Coates' employee. Out of normal working hours, a security guard is stationed on site, who monitors the access road. The security guard conducts regular site checks during the night shift, and this is reported on worksheets. The security guard conducts weekly checks of the perimeter fence, and this is documented and archived. These reports are handed to the Warehouse Manager, who reviews them. If any defects are reported, these would then be rectified.</i>		
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? <i>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 during the IT audit.</i>		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 assets handling information technology?		1
C	2.4.6.	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: Coates Middlewich are members of the CSSSC (cross sector safety and security committee), and the COMAH forum of the CBA. They receive briefings from the DfT, and the Counterterrorism security adviser of the Cheshire Police. Any information is then disseminated to employees through briefings etc. as deemed most appropriate.</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
C	2.5.	Fair business practices		
C	2.5.1.	Has the company formalized the fair business practices ? <i>Assessor: An ethical procurement policy is in place. All employees have been given the staff handbook, which includes a section on fair business practices. After a review of the staff handbook, all employees have to sign again that they have received and read the revised handbook. 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 authorized by e.g. a Manager or by the Director in charge of Middlewich. 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. An asset register is in place. The reporting channel is detailed. The company does not have a whistle blower hotline. The group management have reviewed the possibility of corruption or bribery and have 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
C	2.6.	Environment		
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: If e.g. chemical waste has to be disposed of, a waste disposal company would be instructed to prepare the product for transport. Coates would then transport it to the disposal site. Waste disposal notes are archived. Other waste, e.g. cardboard or wooden pallets etc. are disposed of through recycling companies. Waste from the tinting facility (empty paint tins) will be crushed, kept in 200 l steel drums, until they can be disposed of. The waste disposal notes are archived.</i>		1
C	2.6.2.	Has the company carried out a risk assessment taking into account the		1

		<p>impact of company activities on soil and groundwater contamination? <i>Assessor: All areas, where activities take place, are concreted. All warehouses are bunded. This will prevent escape of liquids from a loss of containment within the warehouse. The site itself is bunded. Any liquid spilled in the yard areas will be contained on site. The site drainage system is designed so that spills in the chemical yard, warehouse 15 or unit 21 and 22 yards lead to a large containment pit, via a number of intermediate pits, pumps and valves. This arrangement is designed to prevent the escape of contaminated liquids, including environmentally hazardous materials. In addition, valves are installed at the final exit point from the site, which can be shut remotely in an incident.</i></p>	
C	2.6.3.	<p>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: The driver handbook and the warehouse operatives' handbook have been up-dated.</i></p>	1
C	2.6.4.	<p>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: Coates Middlewich have encouraged them to sign up. Two sub-contractors have signed up, but are still waiting for their documentation.</i></p>	1
C	2.6.5.	<p>Is there a programme in place to measure and reduce pro rata the use of the following resources in fixed installations?:</p>	
C	2.6.5a.	<p>- electricity <i>Assessor: Consumption is measured. The following opportunities for improvement have been identified: motion sensors in office spaces and WC areas; solar panels fitted; upgrades of lighting in the Deadfile business unit; resolve/ repair incorrectly functioning lighting, motion sensors and LED lighting in the warehouse areas. The target is 5% reduction. In the offices, air conditioning is fitted which heats the offices during the cold season.</i></p>	1
C	2.6.5b.	<p>- fuel <i>Assessor: The company has phased out the diesel powered forklift truck fleet. All forklift trucks are now electric powered. One warehouse has heating fitted and its doors are automatic closing roller shutter doors. To better disperse the air, fans were installed and thermostats were fitted to control the temperature. The company has set a target of reducing fuel consumption by 5% but it is too early to comment on the results.. The ESOS audit has established a baseline. New freight vehicles must comply with the latest Euro emission class. Drivers have undergone training in fuel efficient driving. Company cars are now replaced with hybrid cars when the car is due to be replaced.</i></p>	0
C	2.6.5c.	<p>- water <i>Assessor: Water consumption is measured and monitored. The company aims to reduce the water consumption by 5% year on year.</i></p>	1
C	2.6.6.	<p>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. 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.</i></p>	0
C	2.6.7.	<p>Is a programme in place to measure and to reduce pro rata the waste generated by the company activities? <i>Assessor: The amount of waste generated is measured, the company has set a target to recycle 80% of waste and defines this as its reduction programme. Results are not yet available.</i></p>	0

C	3.	Human Resources			Y/N
C	3.1.	Recruitment			
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, recent examples were available at request for a review.</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: At the time of the SQAS assessment, there was no legal requirement in the UK for a medical examination. Coates pay for eye sight tests for employees working with computer screens, and they reimburse the drivers who have to undergo a medical examination for their 45+ license renewal. All employees are asked to self-report any medical issues.</i>			-
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 were trained during induction.</i>			1
C	3.2.	Training			
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 and drivers. Individual training plans in place. Training records are archived online and locally in more detail in hard copy for individual employees and samples were made available at request for a review.</i>	RC		1
C	3.2.2.	Are the following subjects being trained:			
C	3.2.2a.	- incident reporting, investigation and analysis? <i>Assessor: Included in the driver handbook and the warehouse operations handbook. Drivers and warehousemen will complete a quiz on the contents of the respective handbook.</i>	RC		1
C	3.2.2b.	- dangerous goods handling?			1
C	3.2.2c.	- specific product or handling needs? <i>Assessor: This training has been rolled out by department. All warehousemen will have been authorized to use specific lifting equipment, depending on their FLT training.</i>			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 course, warehouse operators/ forklift operators attend a specific training course and lorry drivers have attended a short online behavioural safety training course and are currently trained and assessed in defensive driving skills.</i>	RC		0
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 Maintenance Manager has attended a training module as part of his IOSH qualification. The Group HSE Manager is Nebosh qualified and this includes training in risk assessments. The training in risk assessment and risk management is presently offered on a one-to-one basis when a revised risk assessment or a new risk assessment is disseminated.</i>			1
C	3.2.2j.	- communication skills? <i>Assessor: Staff are either native English speakers or their English skills are assessed during the interview or during their probationary period.</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 (10.06.2020) and all employees sign for the receipt and that they have read the handbook.</i>			1
C	3.2.2l.	- training in awareness of fatigue and tiredness? <i>Assessor: The driver handbook contains a chapter on fatigue awareness for drivers. Some office staff and warehouse men have attended a 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 and the roll-out is ongoing. Most of the lorry drivers and some of the warehousemen have completed the course.</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. After a revision, staff have to sign that they have read and understood the handbook.</i>			1
C	3.2.2n.	- training and Awareness about impact of plastic/flakes/powder loss, where the company transport/handle these products			0

		Assessor: The spill training module is generic and the company plans to expand the module to cover these issues. The driver handbook and the warehousemen handbook have been expanded to include a chapter on plastic pellet/ powder loss and drivers and warehouse operatives sign that they have received and read the handbook.		
C	3.2.3.	Is a first aid training programme defined for identified persons and implemented ? <i>Assessor: A total of nine First aiders are on-site, their qualifications are documented and the validity is monitored.</i>		1
C	3.2.4.	Are variances from the plan effectively followed up? <i>Assessor: The annual performance review would identify variances from the training plan. To improve on this system, the data is also compiled and entered into a spreadsheet. This enables the Director in charge of Middlewich to monitor variances.</i>		1
C	3.2.5.	Is the effectiveness of the training checked for each employee ? <i>Assessor: This could be: a test at the end of the training module or an observation of working practices. Examples of these reports were made available at request for a review. The effectiveness is also checked during the annual performance review session.</i>		1
C	3.3.	Behaviour Based Safety (BBS)		
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 ? <i>Assessor: Drivers are trained by an external driver trainer. Two internal trainers have been nominated to conduct the training of all forklift drivers/ warehouse operatives.</i>		1
C	3.4.	Labour Policy and human rights		
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 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 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. The company does not employ anybody under the age of 16 for office tasks or under 18 for warehouse tasks. At the time of the assessment, the youngest employee in the Middlewich (Byley) depot is 20 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 would have to submit: a P45, a National Insurance number, references will be checked and verified, the address will be checked, if not British, the right to work will be verified, all wages and salaries are paid into bank accounts, drivers have their driving history checked.</i>		1

C	4.	On/Off Site Emergency Preparedness and Response		<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.	Does this written plan contain the following information :		
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: The PSPI checks are conducted and documented monthly, the fire alarm tests is conducted on a weekly basis. An evacuation test is conducted and documented at least once a year.</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: Feb. 2019: COMAH external emergency plan exercise. The exercise is designed to demonstrate how a small internal emergency can develop into an external emergency. An off-site incident happened on 26.02.2020, and the documentation was reviewed. A racking accident happened on 29.06.2020 and the documentation was reviewed.</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	5.	Performance Analysis and Management Review	
C	5.1.	Non-conformance reporting, investigation, analysis and corrective action	
C	5.1.1.	Is there a documented system in place for recording non-conformances regarding :	
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 1
C	5.1.1.b.	- breaches of security and threats?	RCimp 1
C	5.1.1.c.	- unsafe behaviour & unsafe conditions ?	RCimp 1
C	5.1.1.d.	- regulatory compliance? <i>Assessor: The would be recorded as an incident and investigated and reported accordingly. No such cases have been recorded since the last SQAS assessment.</i>	1
C	5.1.1.e.	- product contamination ? <i>Assessor: This would be reported on the damaged goods form.</i>	RC 1
C	5.1.1.f.	- product discrepancies and shortshipments ?	1
C	5.1.1.g.	- corruption & bribery ? <i>Assessor: The file is empty.</i>	1
C	5.1.1.h.	- grievance and disciplinary findings? <i>Assessor: The documentation was available at request and a sample was selected and reviewed.</i>	1
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 1
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? <i>Assessor: A recent example was made available at request for a review.</i>	RCimp 1
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 customer would be informed immediately by phone or e-mail.</i>	1
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 reports dwell on incidents.</i>	1
C	5.2.	SHEQ&Sec & CSR Objectives and Trend Analysis	
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 discussed during the local site safety committee meetings and a summary is then reported to the group executive meetings. The minutes of the site safety committee meetings are circulated to the Managing Director. The data and trend analysis is also presented at Board level.</i>	RC 1
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 1
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. The haulage sub-contractors are small firms and their staff might attend Coates training seminars.</i>	RC 1
C	5.3.	Internal Audit	
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. The areas addressed are: safety, warehouse operation, HACCP, transport operations, and financial audits supplemented by Covid-19 audits.</i>	RC 1
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 Director would monitor the action plan.</i>	RCimp 1
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 internal auditor training</i>	1

C	5.3.4.	<i>courses.</i> Are safety walkabouts carried out and documented by appropriate managers on a periodical basis? <i>Assessor: These are internally named PSPI checks and examples of recent reports and rectification of N/C was made available at request.</i>	RCimp	1
C	5.4.	Management Review Meetings		
C	5.4.1.	Is a formal management review meeting held at least once a year to review the management system that includes, as minimum, the following inputs?:	RC	
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
6.	Management of Subcontractors		
6.1.	Subcontracting services		
6.1.1.	Subcontracting policy		
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 process is defined in document 5.1.7, supported by document 6.2.1 and 6.1.1</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? <i>Assessor: Sub-sub-contracting is forbidden and this is spelt out in the sub-contractors' handbook.</i>		1
6.1.2.	Fully integrated road transport subcontractors/drivers (FIS)		
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	-
6.1.3.	Non-integrated road transport subcontractors		
6.1.3.1.	Are the non-integrated subcontractors used by the assessed company listed in an approved subcontractors/drivers list?	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: H. W. Coates Ltd. hand out a sub-contractors' handbook.</i>		1
6.1.4.	Unplanned spot services by road transport subcontractors		
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	-
6.2.	Performance monitoring of subcontractors		
6.2.1.	Performance criteria for Road Transport subcontractors		
6.2.1.1.	Is there a written agreement with each road transport subcontractor (FIS and non integrated subcontractors) that contains the requirements and standards relating to the following criteria:		
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. Sub-contractors employed through the Middlewich 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? <i>Assessor: The sub-contractors are small firms, who don't have the resources to set up their own BBS system. Coates offers them participation in the training seminars to qualify them for BBS.</i>	RC	0
6.2.1.1d.	- Journey Plans including safe and secure vehicle parking? <i>Assessor: No HCDG goods are transported by sub-contractors.</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 Middlewich only plan and execute national transports.</i>		1
6.2.1.1f.	- use of emergency number / emergency response capabilities ? <i>Assessor: They would use the Coates emergency number.</i>	RC	1
6.2.1.1g.	- vehicle preventive maintenance and statutory inspection of transport equipment ? <i>Assessor: The maintenance plans are monitored in the traffic office. Service</i>	RCimp	0

	<i>reports have been submitted for a review, but have not been archived, and these reviews were not documented. The traffic office now has a scanner and will archive the documentation in soft copy.</i>		
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)? <i>Assessor: Coates would offer places on training courses to the sub-contractors, to insure they are trained to a similar level.</i>	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 delivery order and the manifest which are in hard-copy.</i>		1
6.2.1.1n.	- has a system to collect data on transport Greenhouse Gas (GHG) emissions ?		0
6.2.2.	Performance monitoring process		
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 the sub-contractors employed out of the Middlewich depot, during which: service level; communications; documentation; equipment; driver appearance; responsiveness; customer liaison will be graded.</i>		1
6.2.2.2.	For all service partners who are SQAS assessed: are they evaluated in their performance on the basis of the following packages :		
6.2.2.2a.	- SQAS Transport Service for all non-integrated road transport subcontractors? <i>Assessor: The sub-contractors are assessed through the respective annual review meeting. Should accidents or incidents have been recorded, in which the respective 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 warehousing 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: A sample of the sub-contractor assessment files was reviewed and found to be comprehensive. The review meetings are documented.</i>		1
6.2.2.4.	When SQAS packages are not used, are the following criteria taken into account to evaluate the non-integrated road transport subcontractors?:		
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 and were available at request for a review.</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 implementation is not a criterion.</i>	RC	0
6.2.2.4c.	- drugs and alcohol policy <i>Assessor: The self-assessment of the sub-contractor declared that they have a drugs and alcohol policy.</i>		1
6.2.2.4d.	- Journey Plans including safe and secure vehicle parking <i>Assessor: The Coates Middlewich depot does not sub-contract the transport of HCDG.</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. A signed copy of the PoD has to be submitted by the sub-contractor, otherwise they would not be paid for the job.</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 call the HERS number. Coates have a contract with HERS, which includes sub-contractors</i>	RC	1

6.2.2.4g.	<i>employed by e.g. the Middlewich depot.</i> - vehicle preventive maintenance and statutory inspection of transport equipment <i>Assessor: Checks are conducted during the annual review meeting and the OCRS score of the sub-contractor is checked online. Spot checks are conducted on sub-contractor vehicles, to verify that any defects noted have been rectified in a timely manner.</i>	RCimp	1
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 sub-contracted out of this depot. The sub-contractor would follow the guidelines in the sub-contractor handbook and this is assessed 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
6.2.2.5.	Does the assessed company retain documented evidence that compliance with the performance criteria :		
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: An annual review meeting is held with each sub-contractor and this is documented.</i>		1

			Y/N
7.	Equipment: Specification, Inspection, Maintenance, and Calibration		
7.1.	Equipment specification		
7.1.1.	Is there a written specification for the purchase or lease of each vehicle/tank/tank container and associated equipment including the following items:		
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 device</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 container chassis.</i>		-
7.1.1.k.	- truck management system ?	RCimp	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?		-
7.2.	Equipment Inspection, Maintenance and Calibration		
7.2.1.	Equipment Inspection and Maintenance		
7.2.1.1.	Is there a documented programme for preventive inspection and maintenance covering the following items:		
7.2.1.1.a.	- tractor units ? <i>Assessor: 6 weekly intervals, the service reports are archived in the maintenance files. Tachographs are calibrated and the reports are archived.</i>	RC	1
7.2.1.1.b.	- trailers ? <i>Assessor: the trailer interval is 8 weeks, the service reports are archived in the maintenance files.</i>	RC	1
7.2.1.1.c.	- tanks/tank containers ?	RC	-
7.2.1.1.d.	- pumps ?	RC	-
7.2.1.1.e.	- compressors ? <i>Assessor: Compressors are fitted to support the sprinkler system. Regular statutory checks are conducted by Zurich Insurance surveyors, which includes the compressed air pipe system. The Zurich reports are archived and were available at request. 12-monthly checks of the compressors and pipes are conducted by a sub-contractor and the reports are archived in hard copy. The fitted gauges are not calibrated.</i>		0
7.2.1.1.f.	- tyres ? <i>Assessor: A tyre service company is retained, who run weekly checks which are spread out to ensure that the tyres of all vehicles are checked once a month. The reports are archived in the traffic office.</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 before he uses the equipment. After loading, the warehousemen check the load is properly strapped and secured, and this would include the condition of the cargo securing equipment. During the regular maintenance service, the garage would check the condition of the load securing equipment and this is documented on their check list.</i>		1
7.2.1.1.j.	- ADR equipment?	RC	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: Gauges fitted to the compressors are not calibrated.</i>		0
7.2.1.1.o.	- temperature control units? <i>Assessor: A temperature monitoring device is fitted to the peroxide storage container, which is calibrated.</i>		1
7.2.1.2.	Is there a written procedure and register in place for the periodic (at least annual) testing of flexible hoses, which includes the following elements :		

7.2.1.2a.	- compatibility of the hose and cargo ?		-
7.2.1.2b.	- identification of different types and numbering ?		-
7.2.1.2c.	- periodic inspection and recording of results ?	RCimp	-
7.2.1.2d.	- periodic pressure testing ?	RCimp	-
7.2.1.2e.	- electrical conductivity ?	RCimp	-
7.2.2.	Calibration of Measuring Equipment		
7.2.2.1.	Has the assessed company a register of measuring equipment to be calibrated?		1
7.2.2.2.	Are written calibration procedures and records in place, including the identification of the following measuring equipment ?		
7.2.2.2a.	- oxygen meters ? <i>Assessor: not in use</i>		-
7.2.2.2b.	- flammable gas detectors ? <i>Assessor: not in use</i>		-
7.2.2.2c.	- instruments for measuring concentrations of toxic gases and vapours ? <i>Assessor: A valid calibration certificate is archived. The calibration contractor has a valid ISO 9001:2015 registration.</i>		1
7.2.2.2d.	- temperature gauges ? <i>Assessor: A valid calibration certificate for the probes in the organic peroxide storage container was archived.</i>		1
7.2.2.2e.	- tyre pressure gauges ? <i>Assessor: No gauges are owned by Coates. The tyre service company owns and calibrates the gauges, and has a valid ISO 9001:2015 registration.</i>		1
7.2.2.2f.	- torque wrenches for tightening wheel nuts ? <i>Assessor: The depot owns a torque wrench. A valid calibration certificate issued by a UKAS accredited testing laboratory was archived. The tyre service company owns and calibrates their torque wrenches, and has a valid ISO 9001:2015 registration.</i>		1

		Y/N
8.	Behaviour Based Safety (BBS or equivalent programme)	
8.1.	Behaviour based safety for safe driving	
8.1.1.	BBS Training for Safe Driving	
8.1.1.1.	Is BBS taken into account when reviewing the training requirements of managers and planners ?	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 external trainer has been appointed to train the lorry drivers and two internal trainers have been appointed to train the FLT drivers.</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: An external trainer has been appointed.</i>	RC 1
8.1.1.4.	Has the BBS driver training frequency been defined and is it implemented ? <i>Assessor: Due to the Covid-19 restrictions, the company was unable to adhere to the planned schedule. It is expected that this will be resolved in the coming year. The regular training frequency is 3 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: Samples of the hard-copy files were made available at request for a review.</i>	1
8.1.2.	BBS Results, Analysis and Monitoring	
8.1.2.1.	Are individual results from the BBS training communicated to the driver, preventive actions agreed, recorded and followed-up ? <i>Assessor: The driver is de-briefed after the assessment, and the driver signs that the results had been communicated. The written report of the driver trainer is reviewed by the Transport Manager and the Director, who would decide if any action should be taken.</i>	RC 1
8.1.2.2.	Are key performance indicators identified and measured, such as :	
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?	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 for drivers is three years. Spot checks of drivers to confirm the start-up checks by the driver were conducted and documented. The spot checks are documented on the smartphone app. The results are included in the BBS review. The company aims to spot check abt. 25% of the fleet in any one month.</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 respectively addresses the KPI results.</i>	RCimp 1
8.2.	Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles	
8.2.1.	Has the management also adopted the Cefic/ECTA guidelines on "Best Practice Guidelines for Safe (Un)Loading of Road Freight Vehicles"? <i>Assessor: The gist of the document has been covered in the company documentation. Coates have recently adapted the SULID packaged goods checklist for their purposes. They have started in November 2020 to collect these checklists, and the information is also used to update the site information in the Roadrunner planning software. 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
8.3.	Awareness of all service partners	
8.3.1.	Does the company promote and monitor the implementation of the following BBS principles with its service partners :	
8.3.1a.	- driving? <i>Assessor: The sub-contractor handbook includes the BBS principles.</i>	1



Report: 88217a (Submitted)
Companyname: H. W. Coates Limited
Location: Middlewich, Cheshire (United Kingdom)
Website: www.hwcoates.co.uk

Module: Transport Service
Re-assessment: 08-12-2020 by Nielsen, D.
Expires on: 08-12-2023
Company type: Stand-alone, More than 50 employees

8.3.1b.	- loading?	1
8.3.1c.	- unloading?	1
8.3.1d.	- cleaning?	1

9.	Management of transport greenhouse gas (GHG) emissions	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 calculated by the Volvo "Dynafleet" system.</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?	-
9.5.	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:?	
9.5.1.	Educational	
9.5.1.1.	Are transport planners trained in payload optimisation and empty mileage reduction?	1
9.5.2.	Transport equipment	
9.5.2.1.	State-of-the-art trucks? <i>Assessor: Truck engines are latest version of Euro emission class, the company has run trials to fit aerodynamic attachments, but found them to be inefficient. Lightweight trailers are in use</i>	1
9.5.2.2.	Low-resistance tyres? <i>Assessor: Currently, eight of the 19 vehicles operated out of the Middlewich depot are fitted with low resistance tyres. In 2021, another six vehicles will be replaced and they will also have low resistance tyres fitted.</i>	1
9.5.2.3.	Tyre pressure monitoring system (TPMS)?	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: Coates are a member of the Hazchem network, which was established to consolidate pallet loads from hub centres and thereby reduce part empty loads.</i>	1

		Y/N
10.	Security	
10.1.	Security in transport	
10.1.1.	Does the company implement measures to ensure the security of the products and transport information throughout the chain of its service partners, including at :	
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 ?	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. Trailers cannot be tracked on their own.</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: King pin 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: Security plan, trackers, monitoring the driver.</i>	1
10.1.8.	Is a procedure in place to ensure that security incidents regarding sensitive products are immediately reported to customers and authorities?	1
10.2.	Security during handling of High Consequence Dangerous Goods	
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 ?	1
10.2.2.	Does the company have measures to monitor the movement of HCDG whilst in transit ? <i>Assessor: GPS trackers are fitted to the rigid vehicles or the tractor unit.</i>	1
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) ? <i>Assessor: Full truckloads or containers are sealed and the seal numbers are documented and recorded.</i>	1
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 ? <i>Assessor: There were no recent case of seal discrepancies to review. The goods inwards documentation records that seal numbers were checked and verified.</i>	1
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? <i>Assessor: The Transport Manager and the planner monitors the vehicle movements with its GPS tracker. Drivers are instructed to phone the office approx. in 1 hour intervals and are also instructed to phone the office when they have completed unloading.</i>	1

			Y/N
11.	Control of operations		
11.1.	Customer Interface		
11.1.1.	Do you have information from the chemical customer to effect a safe collection/delivery? This should include as a minimum :		
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 Best Practice Guidelines document is presently not in use, but the checklist for packaged goods has recently been adopted.</i>		0
11.2.	Planning and Communication		
11.2.1.	Order Planning and Processing		
11.2.1.1.	Is there a written procedure for transport order processing , segregation of goods and vehicle scheduling ? <i>Assessor: Document 5.1.53 applies. A sample of the 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: Samples of the documentation were reviewed. The company uses a bespoke software package, "Roadrunner", to plan and document transport jobs.</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 plans national transports. Any segregation requirements would be communicated to the driver and the warehouse man.</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: The company only plans national transport jobs.</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?		-
11.2.2.			

Tank Cleaning			
11.2.2.1.	Have all cleaning stations of tankers/tank containers been assessed against SQAS for Cleaning Stations (or equivalent assessment system) ?	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?		-
11.3. Operations			
11.3.1. Driver instructions (Driver Manual)			
11.3.1.1.	Is there a drivers manual that is distributed to all drivers (own and FIS) in a language they can understand ?		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 interviews with drivers. A quiz has to be completed by the respective driver to ensure that he has read the handbook. With a revision of the handbook, a new quiz will be distributed.</i>		1
11.3.1.3.	Is the drivers manual updated regularly ? <i>Assessor: Last up-date was documented in Nov. 2019.</i>		1
11.3.1.4.	Are there detailed instructions in the available driver manual regarding the following topics?: <ul style="list-style-type: none"> - 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 topics listed above are covered in the driver manual, with the exception of: fall arrest harnesses: not in use and entry into confined spaces: the company transports only packaged goods which are transported on rigid or flatbed curtain side trailers. No containers for bulk solids are transported.</i>		1
11.3.1.5.	Does the drivers manual contain, in addition, specific detailed instructions for BULK GOODS, regarding : <ul style="list-style-type: none"> - 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 : <ul style="list-style-type: none"> - inspection of the cargo compartment for cleanliness and potential risks (e.g. nails) ? 		1

	- stowage and cargo securing ?	
	- product compatibility and segregation ?	
	<i>Assessor: All topics listed above are covered in the driver manual.</i>	
11.3.2.	Pre-Start Checks	
11.3.2.1.	Is a pre-start list filled in by the driver including the following items:	
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 ?	1
	<i>Assessor: The driver is issued standard PPE. All PPE necessary for the transport of ADR cargo is kept on the tractor and is checked in detail every 6 months, and this is documented. In his daily start-up check list, the driver confirms that his ADR equipment is on board.</i>	
11.3.2.1j.	- wheel chocks ?	1
11.3.2.1k.	- eye wash bottles?	1
11.3.2.1l.	- drain seal and absorption material?	1
	<i>Assessor: All PPE necessary for the transport of ADR cargo is kept on the tractor and is checked in detail every 6 months, and this is documented. In his daily start-up check list, the driver confirms that his ADR equipment is on board.</i>	
11.3.2.1m.	- emergency remote controls on bottom valve?	-
11.3.2.1n.	- no cracks in the front wind screen	1
11.4.	Administration	
11.4.1.	Controls of drivers	
11.4.1.1.	Is the driver (own and FIS) required to keep and to sign a daily worksheet that includes that the vehicle is fit for purpose?	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
11.5.	Temporary storage and internal transfer of packaged goods	
11.5.1.	Does the company have a specific written procedure for the transfer and temporary storage of goods ?	1
	<i>Assessor: chapter 2.8 (transit stocks) in the warehouse operator's handbook applies</i>	
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 ?	1
	<i>Assessor: All storage and handling areas are concreted. A dedicated decanting area is in warehouse 1Q where the transfer of liquids is done on site and the surface inside and outside the warehouse is concreted.</i>	
11.5.5.	Is there a written procedure for cargo securing according to the guidelines?	1
	<i>Assessor: The driver handbook contains instructions and information material on cargo securing. The warehouse operations handbook contains a section on load securing.</i>	
11.6.	Transport of dry products including plastics and polymers	
11.6.1.	Is there a written procedure in place which requires the driver to verify if, during loading and unloading, lost pellets are properly removed from the outside of the transport equipment before leaving the loading/unloading site?	1
	<i>Assessor: The standard spill removal procedure also covers plastic pellets or flakes. The appendix to the driver handbook contains instructions on how to remove spills of plastic pellets or flakes.</i>	
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?	-



Report: 88217a (Submitted)
Companyname: H. W. Coates Limited
Location: Middlewich, Cheshire (United Kingdom)
Website: www.hwcoates.co.uk

Module: Transport Service
Re-assessment: 08-12-2020 by Nielsen, D.
Expires on: 08-12-2023
Company type: Stand-alone, More than 50 employees

11.6.6. Is the electrical resistance to earth of the earthing wire less than 10 ohms?

-

		Y/N
12.	Specific types of Transport Services and their activities	
12.1.	Transfer Terminal for Container/Vehicle operations	
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

13.	Site Inspection and Site operations			Y/N
13.1.	Site inspection			
13.1.1.	Is the site properly secured with fences and gates, well lit and not accessible to the general public ? <i>Assessor: Single point of gated access for the whole site. Gates are locked after hours and staffed by a security guard. 2m high fencing, partly chain link, partly steel palisades. 24 hour recorded CCTV. Security logs maintained by security guard provider. All warehouses are well lit with intruder alarms fitted to warehouse doors. Several lights in the yard and around the warehouses are fitted with motion sensors. All visitors are requested to sign the visitor record book. All warehouse men are aware that any visitor on site without accompaniment will be accompanied to reception and placed in contact with the site management. Delivering drivers are logged onto the site by provision of unloading notes (timed in and out). All warehouse men are aware that no load will be discharged or loaded without a loading or unloading note. No order will be released to a collector or for delivery without specific paperwork from the relevant customer. All orders are traceable.</i>			1
13.1.2.	Is there a system to monitor the entry and movement of vehicles on site ?			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
13.2.	Site operations			
13.2.1.	Is there a documented programme for preventive inspection and maintenance covering the following items :			
13.2.1a.	- site compressed air system ?			1
13.2.1b.	- storage tanks (including fuel) ?			1
13.2.1c.	- electrical installation ? <i>Assessor: Extensive documentation of the various inspection reports in 2017, 2018 and 2019. Items rated as C2 had been rectified in a timely manner.</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: Regular statutory inspections are conducted by a surveyor to the insurance company 'Zurich', and the reports are partly archived in hard-copy and partly in soft copy accessible through the spreadsheet of the maintenance manager.</i>			1
13.2.2.	Are there comprehensive written procedures at the facility including work permit requirements, to ensure safety and to avoid exposure to hazardous materials, for the following operations :			
13.2.2a.	- entry into confined spaces ? <i>Assessor: A work permit would be issued. There are two water tanks on site, which hold water for the sprinkler systems. No recent examples of entry permits could be found in the documentation.</i>	RC		1
13.2.2b.	- breaking of containment (pumps/compressors/lines) ?	RCimp		1
13.2.2c.	- hot work ? <i>Assessor: Samples of archived permits were available at request for a review.</i>			1
13.2.2d.	- work on electrical circuits/equipment (lock out system) ? <i>Assessor: Work permits for work on electrical systems are issued. There are no systems on site which are +1,000 Volts.</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 contractors have to watch before they sign the visitor log.</i>	RCimp		1
13.2.4.	Are there also comprehensive written procedures / instructions at the facility for the following operations :			
13.2.4a.	- clean up and disposal of chemical spillages ? <i>Assessor: The driver handbook and the warehouse operator handbook include instructions of clean-up and disposal of spillages.</i>			1
13.2.4b.	- parking segregation for vehicles carrying different classes of hazardous			1

	product ?		
13.2.4c.	- safe loading/unloading practices ?	RCimp	1
13.2.4d.	- cargo securing ?		1
13.3.	Maintenance workshop		
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	-
13.4.	Bulk Storage Tanks (Fuel, Fuelling Area and Waste Storage)		
13.4.1.	Are the storage facilities approved for the goods stored, identified/labelled accordingly, monitored and maintained? <i>Assessor: A surveyor to the Insurance Company Zurich regularly inspects the fuel tanks. The reports are partly archived in hard copy and are partly accessible through the Zurich repository. The Zurich surveyor measures the fuel tank wall thickness and includes this in the report. There is no evidence that the fuel tanks have been inspected internally during at least the last 7 years. Cracks in the bunds of two fuel tanks had been noted by the Zurich surveyor, this repair has been tendered, and the contract has been signed. The repairs will be completed in January 2021. The older water tank holding sprinkler water was internally inspected in 2014 and the report mentioned corrosion. The tank has since been lined and this issue was addressed. The new water tank was installed in 2019.</i>	RC	1
13.4.2.	Is explosion-proof equipment installed if handling flammables ? <i>Assessor: The fuel tanks are only used to store diesel fuel.</i>		-
13.4.3.	Is an impervious floor in place at the fuelling area?		1
13.5.	Vehicles and other equipment (trailers, tank containers, IBC's etc.)		
13.5.1.	Are the following items on the vehicles and equipment of an acceptable standard :		
13.5.1a.	- condition of the tyres ? <i>Assessor: Visual inspection during the driver interviews.</i>		1
13.5.1b.	- documentation in the cab ?		1
13.5.1c.	- condition of cargo securing devices ? <i>Assessor: Visual inspection during the driver interviews.</i>		1

		Y/N
14.	Handling practices of Food, Food contact Materials and Feed Products	
14.1.	Is the company applying GMP, GMP+ and/or HACCP principles to the operations ?	
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?	-
14.2.	Does the company's personnel policy comply with the special requirements for the handling of Food, Food Contact Materials / Animal Feed Products ?	
14.2.1.	Has the company qualified employees (including administrative personnel) according to a written criteria for the operations of Food, Food Contact Materials / Animal Feed Products?	-
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 ?	-
14.3.	Are traceability and product conformity issues sufficiently implemented in all processes ?	
14.3.1.	Is the company able to provide full traceability on product origin and product destination and its own operations ?	-
14.4.	Are there written procedures in place and documentation available to ensure consistency of product quality ?	
14.4.1.	Is it ensured that bulk transport equipment and containers received and delivered are properly sealed (if so required)?	-
14.4.2.	Are banned lists for particular products available?	-
14.5.	Are there appropriate precautions taken to avoid cross-contaminations and degradation during operations ?	
14.5.1.	Is it ensured that contamination/cross contamination through transport equipment is prevented ?	-
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 ?	-
14.6.	Are there adequate and appropriate hygiene measures maintained ?	
14.6.1.	Are sufficient hygiene measures documented, implemented, validated and maintained for personnel, cleaning, warehouses and transportation?	-
14.7.	Are written procedures in place for product complaint handling, product recall and incident management?	
14.7.1.	Is there a product complaint handling/non conformity procedure?	-
14.7.2.	Is there a product recall procedure?	-
14.7.3.	Is the product recall procedure tested?	-
14.8.	Are written procedures in place for internal audits?	
14.8.1.	Is there a documented plan for internal auditing of all areas, referenced to the GMP/GMP+ and HACCP questionnaire?	-
14.9.	Are appropriate loading and unloading written procedures in place ?	
14.9.1.	Is there a procedure in place that requires the driver/operator to open only one tanklid at a time during loading ?	-
14.10.	Is the entire equipment in contact with products designed to protect product quality?	
14.10.1.	Is the loading equipment in contact with products dedicated, or, are validated cleaning procedures applied between loadings ?	-
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 ?	-
14.11.	Are there appropriate written procedures in place in relation to Animal Feed?	
14.11.1.	Is there a written procedure in place for the cleaning regime in accordance with the GMP+ Animal Feed product database requirements?	-
14.11.2.	Is there a written procedure in place on how to work with the GMP+ Animal Feed Product Database and its updates?	-
14.11.3.	Is there a written procedure in place for the order planning in accordance with the GMP+ Animal Feed product database requirements?	-
14.11.4.	Is there a written procedure in place to establish the Animal Feed product category of a new product to be transported?	-
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?	-



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Location: Middlewich, Cheshire (United Kingdom)
Website: www.hwcoates.co.uk

Module: Transport Service
Re-assessment: 08-12-2020 by Nielsen, D.
Expires on: 08-12-2023
Company type: Stand-alone, More than 50 employees

Comment of assessor:

Comments of assessed company:



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Improvement Action Program:

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Updated on: