



H W Coates Rugby

on 23-07-2019

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

Report:	87362b (Submitted)	Module:	Warehouse
Companyname:	H W Coates	Re-assessment:	23-07-2019 by D. Nielsen
Location:	Rugby (United Kingdom)	Expires on:	23-07-2022
Website:	www.hwcoates.co.uk	Company type:	Stand-alone, 10-50 employees

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



0. Assessment Information and Scope

0.1. Assessment Information

0.1.1. Assessed Company

Name	H W Coates
Location (=Town/City)	Rugby
Country	GB
Postal code	CV21 1QN
Postal Address	Cosford Lane, Swift Valley Ind Est Rugby
Phone	+44 (0) 1788 578331
Website	www.hwcoates.co.uk
1. Contact Person	Mark Brimley
Email	mbrimley@hwcoates.co.uk
2. Contact Person	Neil Buck
Email	nbuck@hwcoates.co.uk
3. Contact Person	Andrew Colbourne
Email	acolbourne@hwcoates.co.uk
Headquarter's Name	H W Coates Ltd
Headquarter's Address	Ladywood House, Ladywood Works, Lutterworth, Leics, LE17 4HD
Type of company	Stand-alone
For headquarter, name subsidiaries	
For subsidiary, indicate the number of the report of the headquarter	
Company Membership: ECTA - FECC - CBA - Febetra - ANLIC - EFTCO - ...	CBA - RHA - UKWA
Total number of employees for all assessed activities (In a transport company the number of fully integrated drivers has to be included)	10-50

0.1.2. Assessor

Lead Assessor

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

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	84407a
2. Report number	84407b
3. Report number	

0.1.5. Assessment dates and duration

Assessment dates and duration

	Date	Duration (number of days)
Core or ESAD Di assessment	22-07-2019	1

Specific assessment 1	23-07-2019	1
Specific assessment 2	24-07-2019	1
Previous Core or ESAD Di assessment		
Previous Specific assessment 1		
Previous Specific assessment 2		

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	Mark Brimley	Rugby
Operations Manager	Neil Buck	Rugby
Quality Assurance Manager	Andrew Colbourne	Hinckley
Safety & Health Manager	Andrew Colbourne	Hinckley
Environmental Manager	Andrew Colbourne	Hinckley
Dangerous Goods Safety Advisor	Robert Symes	Hinckley
	Number Certificate DGSA	Valid until
	2927429/150114	15-01-2020
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)

0.2.3.

Responsible Care

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

If yes, which? CBA

If 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	N
Showers for visiting operators/drivers	N
Canteen present for visiting operators/drivers	N
Temporary storage of packaged products	Y
Fuel storage and refuelling	Y
Waste storage/treatment	N
Railway connection	N
Waterway connection	N

0.2.5.

Incident response

Description of onsite incident response team and equipment Trained operators to deal with small scale spillages only. Large scale spillages are dealt with via HERS (Hazchem Emergency Response Scheme).

Description of the local fire brigade (manpower, equipment, response time) Fully-manned fire station, less than five minutes response based in Rugby.

0.2.6.

Emergency equipment

Description of emergency equipment that can be used for off-site HERS emergencies.

0.2.7.

Valid Operating licence

Number	OD1043505
Scope	Standard National
Validity until	18/03/2020

Are all activities within the scope of the assessment mentioned in the operating licence? Y

If not 'Yes' please specify

0.6.

Warehouse activities

0.6.1.

Activities

Handling of packaged goods (non hazardous)	Y
Handling of packaged goods (hazardous)	Y
Handling of bulk solids	N
Handling of food contact products	N
Handling of food products	N
Handling of feed products	N

The company chooses to be assessed against the Food(contact) & Feed chapter

Handling of chlorinated solvents	N
Handling of Pharma products	N
Handling of Cosmetic products	N
Allergen free business	N
Shuttle service	N
Drum/IBC filling line	N
Blending/mixing	N
Packaging	N
Bagging	N

Are services subcontracted? (even if not provided on site) N

0.6.2.

Type of operators

Own company operators	Y
Number of own company operators	8
Temporary operators	N
Average of Temporary operators	
Number of office employees	13
Number of employees	28

Assessment Information and Scope - Part II WH 1-5

0.

Reference list

WH1	C/L Main Store
WH2	C/L Flam Store
WH3	C/L NC Store
WH4	R/W 1 and 2
WH5	R/W 3
WH6	
WH7	
WH8	
WH9	
WH10	
WH11	
WH12	
WH13	
WH14	
WH15	

1.

General site data

Is the warehouse owned ?	Y
Is the warehouse leased ?	N
Total warehouse space (sq. meters) ?	7525
Total silo space (cubic meters) ?	
Open air packed storage space (sq. meters) ?	20
Are video cameras installed on site ?	Y
Is the registration office for visitors/contractors visiting the company clearly marked to indicate where they have to register ?	Y
Is there a waiting room for contractors (drivers and accompanying persons) nearby the registration office ?	Y
Is smoking prohibited in the storage areas ?	Y
Are warning signs posted for emergency and prohibitions ("no smoking", "emergency exit") ?	Y

2.

Warehouse capacity

Warehouse space (sq. meters)	WH1	WH2	WH3	WH4	WH5
	2601	744	372	2229	1579

3.

Category of products permitted to be stored

	WH1	WH2	WH3	WH4	WH5
Foodstuffs	0	0	0	0	0
Solid chemicals (non - classified goods)	1	1	1	1	1
Liquid chemicals (non - classified goods)	1	1	1	1	1

3.4.

Chemicals - classified as dangerous goods per Transport Classification (specify):

	WH1	WH2	WH3	WH4	WH5
Class 1 - Explosive substances & articles	0	0	0	0	0
Class 2 - Gases	0	0	1	0	0
Class 3 - Flammable liquids	0	1	0	0	0
Class 4.1 - Flammable solids	0	0	1	1	1
Class 4.2 - Substances liable to spontaneous combustion	0	0	1	0	0
Class 4.3 - Substance, which in contact with water emit flammable gases	0	0	0	0	1
Class 5.1 - Oxidising substances	1	0	0	1	0
Class 5.2. - Organic peroxides	0	0	0	0	0
Class 6.1 - Toxic substances	1	1	1	1	1
Class 6.2 - Infectious substances	0	0	0	0	0
Class 7 - Radioactive material	0	0	0	0	0
Class 8 - Corrosive substances	1	1	1	1	1
Class 9 - Miscellaneous dangerous substances & articles	1	1	1	1	1

3.5.

Chemicals - classified as hazardous substances/ preparations (specify):

	WH1	WH2	WH3	WH4	WH5
Explosive (H200, H201, H202, H203, H204, H205)	0	0	0	0	0
Flammable gases (H220, H221)	0	0	1	0	0
Flammable aerosol (H222, H223)	0	0	1	0	0
Oxidising gases (H270)	0	0	0	0	0
Gases under pressure (H280, H281)	0	0	1	0	0
Flammable liquids (H224, H225, H226)	0	1	0	0	0
Flammable solids (H228)	0	0	1	1	1
Self-reactive substances or mixtures (H240, H241, H242)	0	0	0	0	0
Pyrophoric liquids (H250)	-	-	-	-	-
Pyrophoric solids (H250)	-	-	-	-	-
Self-heating substance or mixtures (H251, H252)	0	0	0	0	0
Substances or mixtures which in contact with water emit flammable gases (H260, H261)	0	0	0	0	1
Oxidising liquids (H271, H272)	1	0	0	1	0
Oxidising solids (H271, H272)	1	0	0	1	0

Organic peroxides (H240, H241, H242)	0	0	0	0	0
Substances or mixtures corrosive to metals (H290)	1	1	1	1	1
Acute toxicity (H300, H301, H302, H310, H311, H312, H330, H331, H332)	1	1	1	1	1
Skin corrosion/irritation (H314, H315)	1	1	1	1	1
Serious eye damage/eye irritation (H318, H319)	1	1	1	1	1
Respiratory/skin sensitization (H334, H317)	1	1	1	1	1
Germ cell mutagenicity (H340, H341)	1	1	1	0	0
Carcinogenicity (H350, H351)	1	1	1	0	0
Reproductive toxicity (H360, H361, H362)	1	1	1	0	0
Specific target organ toxicity - single exposure (H370, H371, H335, H336)	1	1	1	1	1
Specific target organ toxicity - repeated exposure (H372, H373)	1	1	1	1	1
Aspiration hazard (H304)	1	1	1	1	1
Hazardous to the aquatic environment (H400, H410, H411, H412, H413)	1	1	1	1	1
Hazardous for the ozone layer (EUH059)	-	-	-	-	-

4. Fire Protection Management (Fire Plan)

4.1. The site in general

Is the warehouse site accessible with fire trucks from at least two sides ? Y

Has a lightning strike survey been performed for the site ? N

4.1.3. Tick which type(s) of fire department are responsible for the site :

- Municipal ? Y

- Volunteer ? N

- On-site fire brigade ? N

Fire water supply :

Is the required fire water supply defined and guaranteed to at least 2.400 l/min ? Y

Is the required fire water supply (fire-hydrants, river, artificial static water supply, Y tanks, cisterns) on-site and off-site at a close range to the buildings on site (<150 m) and immediately available at any time and on-hand for at least two hours ? Y

4.2. Detail Fire Protection Management for the warehouse buildings

4.2.1. Fire Compartments Information

Wareho use	Fire Comp	Area	Max. Stor.	Stor. Type	Prod Class	Risk Phrases	Smoke Detect. sys.	Fixed Ext. sys.	Smoke + Heats vents	Comme nt
(indent)	(indent)	(sqm)	(pallets/ tank/ silo)	(block/ rack/ high rack/ tank/ silo)	(ADDR or haz. symb.)	(MSDS)	(exist Y/N)	(exist Y/N)	(exist Y/N)	
WH1		2601		Rack and block	5.1, 6, 8, 9		Y	N	N	
WH2		744		Block	3, 6, 8, 9		Y	N	Y	
WH3		372		Block	4, 8, 9		Y	N	Y	
WH4		2229		Block and Rack	4, 5.1, 6, 8, 9		Y	N	N	
WH5		1579		Rack	5.1, 8, 9		Y	N	Y	

4.2.2. Warehouse access

Are warehouses, open storage areas, tanks and silos on site accessible by fire trucks from at least two sides (1 long side, 1 front side)

WH1	WH2	WH3	WH4	WH5
1	1	1	1	1

4.2.3. Retention measurements

Are measures taken inside and outside the warehouse to adequately contain contaminated fire water in compliance with local regulations (eg. waterproof surface, volume of retention of 300 L per M2 of warehouse- and overflow in municipal water treatment plant) ?

WH1	WH2	WH3	WH4	WH5
1	1	1	1	1

Are measures taken in the storage areas to adequately contain spilled product in compliance with local regulations (eg. liquid proof surface, volume of retention at least 3% of the column of the packaged products stored) ?

1	1	1	1	1
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Are measures taken on transport ways and loading/unloading areas to adequately contain spilled product (eg. liquid proof surface, volume of retention at least equal to the biggest package to be transported or loaded/unloaded) ?

1	1	1	1	1
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4.2.4. Constructional fire protection

Is the warehouse separated by a safe distance from adjacent buildings in compliance with local regulations (eg. not less than 10 m or not less than 5 m in combination with an external fire wall) ?

WH1	WH2	WH3	WH4	WH5
1	1	1	1	0

Are structural components like pillars, girders, floors and roof structure made of fire resistant materials (e.g. reinforced concrete) ?

1	1	1	0	0
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Are insulation and nonstructural components made of noncombustible materials ?

1	1	1	1	1
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	Are internal and external fire walls rated in accordance with local regulations (eg. wall made of noncombustible material like brick, concrete or reinforced concrete, wall thickness not less than 24 cm, wall minimum 50 cm above the roof or up to the roof and adjacent roof areas 5 m of noncombustible material, doors and gates in the wall fire resistant and self-closing, no other openings in the walls) ?	1	1	1	1	1
	Are adjacent rooms (incl. office, staff - and technical rooms) separated from the storage area with at least fire resistant walls (eg. made of noncombustible material like brick, concrete or reinforced concrete, wall thickness not less than 11.5 cm, doors and gates at least fire retardant and self closing, no other openings in the walls) ?	1	-	-	0	-
4.2.5.	Technical fire protection	WH1	WH2	WH3	WH4	WH5
	Is the warehouse equipped with an overall fire and smoke detection system with direct connection to a permanently manned office that will notify the local fire department without delay or if not, with a direct connection to the local fire department ?	1	1	1	1	1
	Is there a manual fire alarm system with a direct connection to the local fire brigade installed and is it readily accessible at any time ?	1	1	1	1	1
	Is the warehouse equipped with an audible alarm system easily audible throughout the work area ?	1	1	1	1	1
	Are smoke and heat vents installed in each fire compartment with an area not less than 2% of the storage area of the fire compartment ?	0	1	1	0	0
	Are smoke vents automatically operated and is there in addition a button near the exit doors to operate these smoke vents manually ?	0	0	0	0	0
	<i>Permanently open vents</i>					
	Are fire extinguishers and hose reels provided in accordance with local regulations as stated in the Fire Plan and are they highly visible, with unrestricted access at all times (eg. one hose reel or 1x50 kg or 4x12 kg fire extinguisher(s) with dry powder per 800 m2 of warehouse surface).	1	1	1	1	1
	Are fire compartments storing products classified as toxic, oxidising, flammable or dangerous to the environment, equipped with fixed extinguishing systems (eg. water, foam) ?	0	0	0	0	0
	Are fire compartments storing products classified as toxic, oxidising, flammable or dangerous to the environment, equipped with an operating ventilation system, with an air exchange rate of at least twice/hour ?	0	0	0	0	0
	Are charging stations for fork lift trucks placed in separate and vented rooms or inside the storage area with a protection distance of at least 5 m to any stored product or combustible material ?	0	-	-	1	-
	Is the heating system in warehouses where flammable products are stored a hot-water heating system ?	-	-	-	-	-
	Is the surface temperature of the heating system lower than the ignition temperature of the product stored ?	-	-	-	-	-
5.	Warehouse security	WH1	WH2	WH3	WH4	WH5
	Are doors and gates equipped with a locking system and is it assured that they are locked, when no persons are working in the warehouse ?	1	1	1	1	1
	Are windows or other glass areas appropriately secured (e.g. by fixed grills) ?	-	-	-	-	-
	Is the warehouse secured with a burglar alarm system or by security personnel on-site ?	1	0	0	1	1
	Are burglar alarms transmitted automatically to security personnel or to a nearby police station ?	1	-	-	1	1
6.	Warehouse construction	WH1	WH2	WH3	WH4	WH5
6.1.	Warehouse level:					
	single story	1	1	1	1	1
	multi story (above ground floor)	0	0	0	0	0
	underground	0	0	0	0	0
6.2.	Supporting construction:	WH1	WH2	WH3	WH4	WH5
	concrete/bricks	0	0	0	0	0
	fire protected steel	0	1	1	0	0
	metal	1	0	0	1	1
	wood	0	0	0	0	0
	other (please indicate)	N/A	N/A	N/A	N/A	N/A
6.3.	External walls:	WH1	WH2	WH3	WH4	WH5
	concrete/bricks	0	0	0	1	1
	metal	1	1	1	0	0
	wood	0	0	0	0	0
	other (please indicate)	N/A	N/A	N/A	N/A	N/A
6.4.	Internal walls:	WH1	WH2	WH3	WH4	WH5
	concrete/bricks	1	-	1	1	1

	metal	0	0	0	0	0
	wood	0	0	0	0	0
	other (please indicate)	N/A	N/A	N/A	N/A	N/A
6.5.	Roof and supporting construction material:	WH1	WH2	WH3	WH4	WH5
	tiles	0	0	0	0	0
	metal	1	1	1	0	0
	wood	0	0	0	0	0
	other (please indicate)	N/A	N/A	N/A	Concr ete mix	Concr ete mix
6.6.	Floor:	WH1	WH2	WH3	WH4	WH5
	concrete	1	1	0	1	1
	asphalt	0	0	1	0	0
	paved	0	0	0	0	0
	impervious	0	0	0	0	0
	other (please indicate)	N/A	N/A	N/A	N/A	N/A
6.7.	Insulation - walls:	WH1	WH2	WH3	WH4	WH5
	polyurethane	0	0	0	0	0
	asbestos	0	0	0	0	0
	glass fiber	0	0	0	0	0
	other (please indicate)	N/A	N/A	N/A	N/A	N/A
6.8.	Insulation - roof:	WH1	WH2	WH3	WH4	WH5
	polyurethane	0	0	0	0	0
	asbestos	0	0	0	0	0
	glass fiber	0	0	0	0	0
	other (please indicate)	N/A	N/A	N/A	N/A	N/A
	Is the warehouse construction code in line with "natural disaster guidelines", if any ?	1	1	1	1	1
7.	Electrical equipment	WH1	WH2	WH3	WH4	WH5
	Is the electrical installation in accordance with the local regulations and standards ?	1	1	1	1	1
	Is the electrical installation (inclusive lighting) in accordance to the explosion protection regulations ?	0	1	1	0	0
	Is the coverage of lighting 100 % ? (yes and/or indicate %)	1	1	1	1	1
	Are safety lights installed in storage areas with safety lamps at least 1.5 m away from the product ?	1	1	1	1	1
	Is lightning protection installed ?	0	0	0	0	0
8.	Handling equipment					
8.1.	Forklift type :	WH1	WH2	WH3	WH4	WH5
	gasoil	0	0	0	0	0
	LPG	1	0	0	1	1
	electric	1	1	1	1	1
9.	Fixed storage tanks for liquids	WH1	WH2	WH3	WH4	WH5
	Total capacity of storage tanks available (cubic meters) ?	0	0	0	0	0
9.2.	If available:					
9.2.0.	Construction material of:	WH1	WH2	WH3	WH4	WH5
	stainless steel	-	-	-	-	-
	carbon steel	-	-	-	-	-
	aluminum	-	-	-	-	-
	polyester/plastic	-	-	-	-	-
	Internal coating ?	-	-	-	-	-
10.	Fixed storage silos for solids	WH1	WH2	WH3	WH4	WH5
	Total capacity of storage silos available (cubic meters) ?	0	0	0	0	0
10.1a.	If available:					
10.2.	Construction material of:	WH1	WH2	WH3	WH4	WH5
	stainless steel	-	-	-	-	-
	carbon steel	-	-	-	-	-
	aluminum	-	-	-	-	-
	polyester/plastic	-	-	-	-	-
	Internal coating?	-	-	-	-	-
11.	Operations					
	Are hazardous substances handled (filling/blending) in open systems in the warehouses ?	0	0	0	0	0
	Which classes of hazardous substances are handled in these open systems ?	N/A	N/A	N/A	N/A	N/A
	Are drumming lines available ?	-	-	-	-	-



Report: 87362b (Submitted)
Companyname: H W Coates
Location: Rugby (United Kingdom)
Website: www.hwcoates.co.uk

Module: Warehouse
Re-assessment: 23-07-2019 by D. Nielsen
Expires on: 23-07-2022
Company type: Stand-alone, 10-50 employees

Are bagging lines available ?

-	-	-	-	-
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				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 policies are signed by the Managing Director, Tom Coates, and were last revised January 2019: Security Policy; Environmental Policy; Health & Safety Policy; Quality Policy and Objectives (includes training statement, audit statement, customer complaints and non-conformance reporting statement); Forklift Truck BBS; Driver BBS; Major Accident Prevention Policy (which also addresses non-conformance reporting); drugs & alcohol Policy is part of the employee handbook. In addition the company has: Stress Policy; Policy 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; Ethical Procurement Policy; Modern Slavery Statement.</i>	RC	1
C	1.1.1.1b.	- Corporate Social Responsibility (CSR) requirements? <i>Assessor: The policy statement is signed by the Managing Director, Tom Coates, and was last revised January 2019. The Responsible Care Policy was also revised Jan. 2019.</i>	RC	1
C	1.1.1.2.	Are senior managers sufficiently visible and engaged in carrying forward the SHEQ&Sec message? <i>Assessor: Quarterly meetings of the Safety, Health, Environment and Quality Committee are held. The minutes of the last meetings were made available for review. These meetings are attended by: Directors, the warehouse manager and the transport manager, a driver and a warehouse operative. This ensures that issues raised by drivers or operatives are addressed and also that conclusions are shared with the workforce.</i>	RC	1
C	1.1.1.3.	Does the line management interact and constructively encourage employees to be actively engaged in SHEQ&Sec performance improvement? <i>Assessor: The main interaction route is through the Safety Committee meetings. All employees are encouraged to report near misses or non-conformances and any issues would also be discussed during the annual training and performance review.</i>	RC	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. Job descriptions were sampled and reviewed.</i>		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 database is maintained on the intra-net, which is accessible to staff. The company subscribes to Croners, the HSE, RHA, CBA, CSSC, the Motor Transport Magazine.</i>	RC	1
C	1.1.3.2.	Is there a written procedure present which describes how legislative changes as detailed in the register of legal requirements are communicated and implemented in the company? <i>Assessor: procedure 4.6.2.1 applies</i>		1
C	1.1.3.3.	Is a regular review made of the system for compliance with legal requirements ?		1
C	1.1.3.4.	Does the Dangerous Goods Safety Advisor produce an annual report to Management on the Companies' activities in the transport of dangerous goods, in accordance with legal requirements and within six months after year end? <i>Assessor: 2018 report iss. 7.05.2019; 2017 report iss. 19.03.2018; 2016 report iss. 28. Feb. 2017</i>		1

				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) ? <i>Assessor: Examples of new products from the last 3 years were made available for review. The company uses a detailed pro-forma, which also addressed the issues of COMAH lower tier limits, and includes an SDS review.</i>	RC	1
C	2.1.1.b.	- change of operations/activities (e.g. new products, new routes) <i>Assessor: examples were reviewed</i>	RCimp	1
C	2.1.1.c.	- periodic review of risks on current activities? <i>Assessor: The risk assessments are reviewed every two years, and input from the various units is considered by the HSE Manager.</i>	RC	1
C	2.1.2.	Are measures taken to control/mitigate all identified risks ? <i>Assessor: Based on the risk assessment matrix and list, the company has taken measures to address and mitigate the risks identified.</i>	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 ? <i>Assessor: A generic statement on PPE is included in the staff handbook. More specific instructions are included in the driver handbook and the warehouse operative handbook. Transport job cards or order pick notes would have instructions on product specific PPE. The spillage procedure addresses PPE requirement.</i>	RC	1
C	2.2.1.2.	Is the PPE regularly checked (before use and at set intervals) and replaced when required ?		1
C	2.2.1.3.	Are instructions and training provided when category III PPE or other specific precautions are needed and used? <i>Assessor: The only cat. III PPE in use are filter masks. A training module has recently been developed, but there are presently no training records.</i>	RC	0
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? <i>Assessor: The product acceptance procedure stipulates that SDS must be available. The company has processes in place to ensure that SDS on file are the latest version.</i>	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 ? <i>Assessor: Visitors would first report to the office entrance where they sign-in and are site inducted. Visitors are accompanied by staff at all times. Contractors are signed-in, site inducted and issued a permit to work. Drivers of lorries drive through the gate into the unloading bay, and then report to the office. The whole site is CCTV controlled.</i>		1
C	2.4.2.	Is there a written procedure in place, requiring documented periodical inspections, to identify breaches in the security of the buildings/premises? <i>Assessor: The checklist is completed monthly during the walk around, and they are archived.</i>	RCimp	1
C	2.4.3.	Has a risk assessment been conducted in the last twelve months, as a minimum frequency, regarding data on customers, products and operations and are measures taken to mitigate identified risks? <i>Assessor: Regular reviews of IT risks and audits are conducted and archived.</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 security plan.</i>		1
C	2.4.7.	Is a system in place to ensure that communication dialogue and information exchange on security issues is appropriate? <i>Assessor: The company is a member of the Cross Sector Safety and Security Communications (CSSC) network.</i>		1
C	2.4.8.	Is a system in place to ensure that response to security threats and incident are defined?		1

Assessor: Any security incident would be reported and analysed during the safety committee meeting. An example of a recent security incident was available for review.

C	2.5.	Fair business practices	
C	2.5.1.	Has the company formalized the fair business practices ? <i>Assessor: A fair business practice policy is in place. All employees have been issued the staff handbook, which includes a chapter on fair business practices. A business risk assessment is part of the quality manual.</i>	1
C	2.5.2.	Are there mechanisms in place to ensure effective implementation of the anti-corruption and bribery policy (including for instance: conflict of interest, fraud, money laundering)? <i>Assessor: All capital expenditure has to be signed off by the Managing Director. The staff handbook contains a chapter "Code of conduct for employees" which addresses: ethics, conflict of interest, gifts and hospitality, scrap, damaged or surplus material. The reporting channel is detailed. The company does not have a whistle blower hotline. The Directors have reviewed the possibility of corruption or bribery and classed it as negligible.</i>	RC 1
C	2.5.3.	Are there mechanisms in place to ensure effective implementation of the anti-competitive practices policy? <i>Assessor: Every employee receives the staff handbook and signs for it. The staff handbook would be revised regularly and if re-issued, staff would sign again. A chapter in the handbook addresses anti-competitive practices. The internal financial audit addresses e.g. bid rigging.</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: Most waste generated is general waste. Any product specific waste would be quarantined, and a suitable disposal facility would be identified. The waste is mostly transported directly to the reception facility.</i>	1
C	2.6.2.	Has the company carried out a risk assessment taking into account the impact of company activities on soil and groundwater contamination? <i>Assessor: The site is fully bunded and all surfaces are concreted. All surface water is directed towards a main drainage channel, which has a shut-off valve fitted, so that spillages could be contained and pumped out.</i>	1
C	2.6.3.	Where plastic/flakes/powder are transported/handled in bulk or packaged forms, has the company signed up to "Operation Clean Sweep" or "Zero Pellet Loss" or similar programmes? <i>Assessor: The company is a member of the Operation Clean Sweep programme.</i>	1
C	2.6.4.	Has the company asked the applicable subcontractors to sign the programmes mentioned in 2.6.3 where the company transports/handles plastic/flakes/powder? <i>Assessor: The company has communicated the aim of Operation Clean Sweep, but has so far not formally requested sub-contractors to sign up.</i>	0
C	2.6.5.	Is there a programme in place to measure and reduce pro rata the use of the following resources in fixed installations?:	
C	2.6.5a.	- electricity <i>Assessor: Electricity consumption is measured. All lighting is being changed to LED and fixed lighting runs on 10% while idle and is activated through motion sensors. The company currently prepares for the ESOS assessment in August 2019.</i>	0
C	2.6.5b.	- fuel <i>Assessor: The fuel consumption is measured through e.g. the route tracking system. FLT consumption is also measured. As part of the ESOS assessment in August, reduction opportunities will be identified.</i>	0
C	2.6.5c.	- water <i>Assessor: Water consumption is monitored. Water is mainly used in the office building, and for livery washes. There is no formal programme in place to reduce water consumption.</i>	0
C	2.6.6.	Is a programme in place to measure and reduce pro rata the output of emissions? <i>Assessor: The company uses their planning software 'Roadrunner' to calculate GHG emissions. The calculation is based on the information on emissions supplied by the truck manufacturers, Volvo. In order to reduce the emissions, the company plans to renew tractor with the latest EU6 emissions classification. There are no dust emissions on site.</i>	0
C	2.6.7.	Is a programme in place to measure and to reduce pro rata the waste generated by the company activities? <i>Assessor: The quantity of waste is measured. The company now separates waste into categories in order to facilitate recycling.</i>	1

				Y/N
C	3.	Human Resources		
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</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 assessment, there is no legal requirement in the UK for a medical examination. New recruits complete a self-assessment form, and might be referred to an occupational health specialist for advice. If the COSHH assessment identifies the need for a medical assessment, the chemical would either not be used or if it is a product for storage, would then not be accepted into the warehouse. All drivers have to undergo their 45+ medical examination, and the records are sent to the DVLA. Staff working with IT screens are encouraged to see an Optometrist, if they experience problems.</i>		0
C	3.1.3.	Is there a written grievance and disciplinary procedure? <i>Assessor: The procedure is part of the staff handbook, and all new employees are 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. Training records for individual employees are maintained in files and samples were made available 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: covered in the induction training</i>	RC	1
C	3.2.2b.	- dangerous goods handling? <i>Assessor: tailored training modules for different groups of employees</i>		1
C	3.2.2c.	- specific product or handling needs?		1
C	3.2.2d.	- use of PPE (Personal Protective Equipment)? <i>Assessor: The chemical awareness training module addresses generic PPE issues appropriate for the job.</i>	RC	1
C	3.2.2e.	- company emergency written procedures?	RC	1
C	3.2.2f.	- spill prevention and control? <i>Assessor: part of the chemical awareness training module. drivers attend ADR training courses</i>	RCimp	1
C	3.2.2g.	- Behaviour Based Safety (BBS) principles? <i>Assessor: Office staff attend a BBS awareness training, forklift drivers and lorry drivers are BBS trained during their induction and are assessed on a three year cycle.</i>	RC	1
C	3.2.2h.	- security awareness proportionate to the risk and their role within the business (Security of information should be included)?		1
C	3.2.2i.	- risk Assessment and risk Management? <i>Assessor: The induction training covers risk assessment and risk management topics, with respect to the job tasks and responsibilities. Warehouse operatives sign that they have attended the induction into specific risk assessments.</i>		1
C	3.2.2j.	- communication skills?		1
C	3.2.2k.	- all aspects related to prevention of bribery and corruption? <i>Assessor: as part of the induction training and employees sign that they have read the staff handbook.</i>		1
C	3.2.2l.	- training in awareness of fatigue and tiredness? <i>Assessor: Drivers are inducted and the driver handbook contains a chapter on fatigue; All transport planners are CPC holders, and had fatigue awareness training as part of their training module. Office staff and warehouse operatives are advised as part of their induction training.</i>	RC	1
C	3.2.2m.	- company ethics policy / code of ethics? <i>Assessor: As part of the induction training covering the staff handbook.</i>		1
C	3.2.2n.	- training and Awareness about impact of plastic/flakes/powder loss, where the company transport/handle these products <i>Assessor: Included in the generic spillage training module.</i>		1
C	3.2.3.	Is a first aid training programme defined for identified persons and implemented ? <i>Assessor: Three First Aiders are on site.</i>		1
C	3.2.4.	Are variances from the plan effectively followed up?		1
C	3.2.5.	Is the effectiveness of the training checked for each employee ?		1

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 programme.</i>	RC	1
C	3.3.2.	Have the respective responsibilities of all personnel in the implementation of BBS been identified? <i>Assessor: An outside company has been appointed for the driver BBS training programme. The forklift driver BBS training programme is conducted in-house. The responsibilities are defined and clearly communicated.</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 annually resp. 3-yearly. The company clearly prefers internal recruitment and development and would only recruit external candidates if they need special skills.</i>		1
C	3.4.2.	Are specific mechanisms in place to ensure effective implementation of your company's non discrimination policy? <i>Assessor: The policy statement clearly spells out the company commitment. The workforce is well balanced in terms of gender distribution, and the company relies often on applicants who had been recommended by staff.</i>	RC	1
C	3.4.3.	Are specific mechanisms in place to ensure effective implementation of the company's policy about child labour? <i>Assessor: A young workers risk assessment is in use. At the time of the assessment, the youngest employee is 19 years of age.</i>		1
C	3.4.4.	Does the company ensure that no forced, bonded or involuntary prison labor is employed? <i>Assessor: A new recruit has to submit: a P45, an NI number, references are checked, the address is checked, if not British, the right to work is verified, all wages and salaries are paid into bank accounts, drivers have their driving history checked.</i>		1

C	4.	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 ? <i>Assessor: The company have a contract with HERS.</i>		<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: Spill kits, eye wash bottles, emergency shower and First Aid Kits are checked by own staff. The fire extinguishers are maintained by a contractor. The fire hydrants were last tested in 2018 by the local fire brigade.</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: A fire drill evacuation test is conducted at least once every year, last date: 30.04.2019 a spill exercise was last conducted in March 2019, which included recovery of spilled material and disposal of absorbent.</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	5.1.1a.	- accidents & incidents ? <i>Assessor: On the intra-net, a non-conformance file is maintained.</i>	RC	1
C	5.1.1b.	- breaches of security and threats?	RCimp	1
C	5.1.1c.	- unsafe behaviour & unsafe conditions ?	RCimp	1
C	5.1.1d.	- regulatory compliance? <i>Assessor: This would be recorded as an incident, investigated and reported.</i>		1
C	5.1.1e.	- product contamination ?	RC	1
C	5.1.1f.	- product discrepancies and shortshipments ?		1
C	5.1.1g.	- corruption & bribery ? <i>Assessor: The file is empty.</i>		1
C	5.1.1h.	- grievance and disciplinary findings? <i>Assessor: Four cases were reported in the last three years.</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?	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 of communication with customers were made available. The communication could be 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 report dwells 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 part of the safety committee meetings. The minutes of the meetings are circulated to the Managing Director.</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.</i>	RC	1
C	5.3.	Management Review		
C	5.3.1.	Internal Audit		
C	5.3.1.1.	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 presented for review.</i>	RC	1
C	5.3.1.2.	For non-conformances identified in the audits, are action plans developed and are corrective actions taken ? <i>Assessor: In the audit report, the action plan and rectification time is defined. The Group HSE Manager in conjunction with the Exec. Director would monitor the action plan.</i>	RCimp	1
C	5.3.1.3.	Do those carrying out auditing have training and/or competence in auditing and evaluation techniques ? <i>Assessor: The group HSE manager has had auditor training through his NEBOSH qualification. The other internal auditors have attended in-house auditor training.</i>		1
C	5.3.1.4.	Are safety walkabouts carried out and documented by appropriate managers on a periodical basis? <i>Assessor: Monthly walk arounds are documented and archived.</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: as part of the executive board meeting</i>		1
C	5.4.1i.	- the effectiveness of the programmes about emission reduction required by questions 2.6.6 <i>Assessor: as part of the executive board meeting</i>		1
C	5.4.1j.	- the effectiveness of the programme about waste reduction required by question 2.6.7 <i>Assessor: as part of the executive board meeting</i>		1
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 <i>Assessor: This information would also be circulated to other depots, so that learning points can be shared.</i>		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.	Fire Protection Management	
6.1.	General	
6.1.1.	Fire Plan	
6.1.1.1.	Has a fire risk assessment been performed together with the responsible local authorities and the local Fire Brigade, and has the resulting fire protection management (Fire Plan) been implemented ?	RC <input type="text" value="1"/>
6.1.1.2.	Is the fire protection management system in compliance with the requirements of the operating permit ?	<input type="text" value="1"/>
6.1.1.3.	Has an up to date Fire Plan been handed over to the local authorities/ local Fire Brigade or can they get access to the Fire Plan at any time on-site ? <i>Assessor: An emergency response bag is kept at the Cosford Lane office, which includes the plan.</i>	RC <input type="text" value="1"/>
6.1.1.4.	Is it assured that the Fire Plan is updated periodically (less than 5 years) to reflect significant changes related to the products stored, the quantity stored and the constructional, technical and administrative fire protection features ? <i>Assessor: An example of a recent review with a MoC documentation was made available during the assessment.</i>	RC <input type="text" value="1"/>
6.1.2.	Storage and segregation requirements related to Fire Protection	
6.1.2.1.	Is segregation applied between the different products as per national permit, guidance and/or regulations?	RC <input type="text" value="1"/>
6.1.2.2.	Is there a procedure to prevent products not listed in the operating permit being stored in the warehouse (including products in transit) ? <i>Assessor: The operating permit does not specify products, these are defined by the warehouse operator, HW Coates Ltd. The product acceptance procedure ensures that only products registered in the warehouse management IT system are accepted. If a customer requests storage of a new product, the new product acceptance procedure is triggered.</i>	RC <input type="text" value="1"/>
6.1.2.3.	Is there a procedure to ensure that the permitted storage limits (by law or by operating permit) are not exceeded at any time ? <i>Assessor: Through the warehouse management software.</i>	RC <input type="text" value="1"/>
6.1.2.4.	Is there a procedure to ensure that aerosol packaging with flammable gases are stored in separate rooms, or in metal cages, to protect the warehouse against fire spreading due to igniting aerosol packaging ? <i>Assessor: HW Coates operate an aerosol storage area which is specially designed and adapted to aerosol storage.</i>	<input type="text" value="1"/>
6.1.2.5.	Are flammable products, or products which contain flammable gases, not stored in basements ? <i>Assessor: No basements are on site.</i>	<input type="text" value="-"/>
6.1.2.6.	Are filling and blending operations only taking place in areas separated from the storage area by fire resistant walls ? <i>Assessor: No filling or blending equipment is on site.</i>	<input type="text" value="-"/>
6.1.3.	Access and emergency exits	
6.1.3.1.	Is unrestricted site access (to premises and buildings) available to the emergency service at all times (24h and 365d per year) ? <i>Assessor: The keys are in a designated box, the location is sign posted.</i>	<input type="text" value="1"/>
6.1.3.2.	Are there sufficient emergency exits (at least two per fire compartment, creating separate escape routes) and are they clearly marked, with unrestricted access at all times ? <i>Assessor: Sufficient emergency exits are in place. During the site tour it could be confirmed that they are free and unobstructed.</i>	<input type="text" value="1"/>
6.1.4.	Fire water supply	
6.1.4.1.	Does the Fire Plan address the required fire water supply for the warehouse in terms of volume, pressure and reliability ? <i>Assessor: The plan also identified additional sources, i.e. a nearby underground tank, a nearby river and a canal.</i>	<input type="text" value="1"/>
6.1.5.	Retention measurements	
6.1.5.1.	Are measures taken to adequately contain contaminated fire water ? <i>Assessor: The surface water drain is protected by a rotork valve to prevent contaminated liquid leaving the site. The valve is automatically triggered by the fire alarm system and will shut down when the fire alarm is activated. The valve can be closed manually if for any reason the automatic closure fails. If contaminated liquid is trapped in the site drain by the valve, then effluent removal contractors will be contacted and arrangements made for them to remove the contaminants.</i>	<input type="text" value="1"/>
6.1.5.2.	Are measures taken on transport ways and loading/unloading areas to adequately contain spilled product ? <i>Assessor: All on-site sewers lead into the main sewer which can be closed as described under 6.1.5.1.</i>	RC <input type="text" value="1"/>

6.2.	Constructional fire protection		
6.2.1.	Does the constructional fire protection of the warehouse comply with the local regulations and standards and is it documented in certificates, and if not, are there signed permissions by local authorities for the deviations ? <i>Assessor: At the time of the assessment, there are no permits or certificates issued by the local authority or the fire brigade or the COMAH competent authority. The company keeps a log of visits and results, and this showed regular inspections. If issued, the report of a visit would also be archived. As required for a lower tier COMAH site, a fire risk assessment and an internal emergency plan is available.</i>		1
6.3.	Technical fire protection		
6.3.1.	Does the technical fire protection of the warehouse (e.g. smoke detection, fixed extinguishing system, smoke and heat vents, fire extinguishers) comply with the local regulations and standards and is it documented in certificates ? <i>Assessor: smoke detectors or beams as appropriate, smoke and heat vents, fire extinguishers are installed.</i>		1
6.3.2.	If deviations from regulations are implemented, are there signed permissions by local authorities for the deviations ? <i>Assessor: No deviations were documented.</i>		-
6.3.3.	Is fire protection equipment maintained, tested and checked on a regular basis ? <i>Assessor: The fire alarm is tested weekly. All other equipment is tested quarterly by an outside contractor.</i>	RCimp	1
6.3.4.	If equipment using naked flames or generating sparks is operated, has a suitable risk assessment been undertaken and documented, and is the equipment used in a designated safe area, away from the storage of flammable products and combustible materials and which is suitably ventilated ? <i>Assessor: No equipment using flames or sparks is in use or installed. If a contractor brings such equipment, then a permit to work would have to be issued.</i>	RC	-
6.3.5.	Are products and combustible material stored away from ignition sources at a distance of at least 1.5 m ? <i>Assessor: The DSEAR assessment was available for a review during the assessment.</i>		-
6.3.6.	Is the restriction for non smoking respected?		1
6.4.	Administrative fire protection		
6.4.1.	In case of emergency, is there a procedure for safe evacuation ?		1
6.5.	Fire fighting		
6.5.1.	Are nominated persons available who have received specific training in the use of fire protection devices ? <i>Assessor: Warehousemen have attended a fire extinguisher training course.</i>		1
6.5.2.	Is there at any time, an up to date list of stored products available in the event of an emergency at the site, showing all relevant information (quantities, locations, hazards) ? <i>Assessor: This is available from the company's Roadrunner System of inventory management.</i>		1
6.5.3.	Has the response time and the level of response of the local Fire Brigade to an incident on site been assessed, and have the results been written into the Fire Plan ?		1
6.5.4.	Is the requirement for spill clean-up equipment defined in a risk assessment, and is such equipment readily available ?	RC	1
6.5.5.	Is adequate PPE available for handling spillages and are appropriate personnel trained in its use?		1
6.5.6.	Are enhanced spill prevention procedures and protection measures taken for products that can produce toxic fumes (e.g. sodium hypochlorite) ?		1

		Y/N
7.	Storage and Handling Practices	
7.1.	General	
7.1.1.	Is the warehouse structure in visibly good condition ? Absence of corroded steel, no holes/damage in the wall or roof, no broken windows, ... are indications of a good condition of the warehouse.	1
7.1.2.	Is housekeeping in the warehouse at a good standard (e.g.. clean, tidy, paintwork, no spills, etc.) ?	1
7.1.3.	Is there a sanitation procedure in place to control pests, such as rodents, bugs and birds ? <i>Assessor: Coates have appointed a pest control contractor, who visits every 2 months. The reports are archived and kept available in the office. Results are discussed with a Manager or Director</i>	1
7.1.4.	Are exhaust emitting vehicles excluded from the warehouse, other than fork lift trucks ?	1
7.1.5.	Are diesel powered fork lift trucks excluded from the warehouse ? <i>Assessor: The company has only LPG powered and electric forklift trucks in use.</i>	1
7.1.6.	Is the floor liquid tight ?	1
7.1.7.	Are measures taken in loading/unloading areas to adequately contain spilled product ? <i>Assessor: The loading/ unloading area is designed with slopes so as to create a bunded area.</i>	1
7.1.8.	Are the loading/unloading docks safely accessible for vehicles (clearly signed, suitable road width, no difficult turns) ?	1
7.1.9.	Are loading/unloading docks protected against collisions ?	1
7.1.10.	Does the warehouse have good general ventilation, meeting local requirements, and is it maintained in an operational condition? <i>Assessor: The ventilation system is based on natural ventilation and the location of the vents has been chosen so as to improve the airflow.</i>	1
7.1.11.	For the storage of highly flammable products, is adequate ventilation provided, through e.g. upper and lower louvres, unobstructed in at least 2 facing walls or through forced ventilation ?	1
7.1.12.	In those cases where products are stored outside, has the customer agreed to that? <i>Assessor: One product is stored outside, and the customer has agreed to that.</i>	1
7.1.13.	Are the conditions for outside storage of products defined and met?	1
7.1.14.	Are external storage areas adequately maintained?	1
7.1.15.	Can the forklifts operate easily and safely inside and outside the warehouse ?	1
7.1.16.	Are traffic flow directions clearly marked ?	1
7.1.17.	Is traffic controlled on site ? <i>Assessor: Risk assessment is in place and reviewed regularly.</i>	1
7.1.18.	Is vehicle reversing controlled on site ? <i>Assessor: Trained banksmen are on site.</i>	1
7.1.19.	Is the warehouse equipped with mirrors in areas without good views or are claxon/horns used? <i>Assessor: horns are used</i>	1
7.1.20.	Are yards, roads, paths and steps, properly surfaced, in good condition, clean and free from obstructions ?	1
7.1.21.	Is the following waste segregated for disposal/recycling in a safe and practical way and are waste bins available and emptied regularly?	
7.1.21a.	- general site waste such as cartons, paper and broken pallets that needs to be disposed of separately <i>Assessor: Waste is segregated into different categories, to facilitate recycling</i>	1
7.1.21b.	- product waste (hazardous and non hazardous) <i>Assessor: Any product waste would be quarantined, labelled "frozen", and placed in a separate controlled area.</i>	1
7.1.22.	Are emergency showers, where required by the risk assessment, located close to all appropriate work areas, and ready to use.	1
7.1.23.	Are unauthorised discharges into controlled waters prevented ? <i>Assessor: refer to comments 6.1.5.1 and 6.1.5.2</i>	1
7.1.24.	Where emergency containment is in place, are there systems and procedures to ensure that containment is kept empty ?	0
7.1.25.	Is there a procedure which describes the way to keep the water treatment units in good condition ? <i>Assessor: no water treatment unit is in place</i>	-
7.2.	Storage conditions	
7.2.1.	Are the racking systems in accordance with local requirements, in good condition, protected from vehicle collision and from weathering ?	1

7.2.2.	Is storage racking operated within maximum loading limits?		1
7.2.3.	Is the maximum weight indicated on the racks ?	RCimp	1
7.2.4.	Are all stored products and packaging materials stacked properly and safely in the warehouse(s)? <i>Assessor: The racking documentation and the report of the annual external rack inspection contain advice on proper and safe storage on the racks. Displays are fitted to each rack row.</i>		1
7.2.5.	Are empty pallets stored inside the warehouse at dedicated places and is the quantity limited to maximum half-a-day use in production ?		1
7.2.6.	Are empty pallets stored outside the warehouse at a safe location ?		1
7.2.7.	Are stack heights of empty pallets outside the warehouse limited to the transport stack height (approximately 3 meters), if not supported ?		1
7.2.8.	Are there floor markings in the warehouse indicating storage spaces and staging areas and do these comply with national and/or additional individual company guidelines ? <i>Assessor: The floor markings comply with company guidelines.</i>		1
7.2.9.	Are there markings in the warehouse indicating walkways ?		1
7.2.10.	Are products stored with regard to temperature and ventilation requirements, if any ? <i>Assessor: The company only accepts products which can be stored at ambient temperatures and not requiring any forced ventilation.</i>		-
7.2.11.	Has the storage area been ATEX assessed and are the resultant zones, if applicable, clearly identified on site, and has a site plan been developed and communicated to all relevant personnel ? <i>Assessor: A DSEAR assessment has been completed by the HSEQ Director, who holds a NEBOSH qualification, which includes ATEX and DSEAR assessment training.</i>	RC	1
7.2.12.	Is all equipment used in classified zones in accordance with the ATEX classification?		1
7.2.13.	Are all packaged goods labelled in accordance with legislative requirements?		1
7.2.14.	Is there a procedure for the handling, storage, retention and disposal of samples ? <i>Assessor: No samples are handled or stored.</i>		-
7.2.15.	If samples have to be taken, is the work undertaken in accordance with the procedures, by a trained and competent site operator or appointed surveyor with adequate safety precautions? <i>Assessor: see comment 7.2.14</i>		-
7.3.	Material Handling Equipment (MHE)		
7.3.1.	Is a procedure implemented to ensure :		
7.3.1a.	- that MHE operators are trained by a qualified specialist ?	RC	1
7.3.1b.	- that newly appointed MHE drivers are subject to an initial training program ?		1
7.3.1c.	- that a driver refresher training program is in place ?	RCimp	1
7.3.1d.	- that MHE operators are protected (by e.g. wearing seatbelts, closed cabin, re-enforcements) ?		1
7.3.1e.	- that rules are established on the interface between forklifts and pedestrians (including truck drivers) ?	RCimp	1
7.3.1f.	- that protection measures are in place driving upon mobile ramps ?		1
7.3.1g.	- that the MHE ignition key is secured to prevent unauthorised use?		1
7.3.1h.	- that audible/visual warnings (lights, horn) are used when driving backwards ?		1
7.3.1i.	- that MHE's are equipped with safety mirrors (for blind spots) ?		1
7.3.1j.	- are MHE lifting equipment such as big bag lifting frames, drum lifting frames etc. marked with maximum capacity and tested (certificate)?		1
7.3.1k.	- that only explosion proof MHE can enter in ATEX area, non explosion equipment can also enter when equipped with gas detectors (storage area, filling/blending area)? <i>Assessor: Only ATEX classed FLT can be used in the ATEX zones.</i>		1
7.3.2.	Are pre-start checks done and documented by the MHE operator on daily/shift basis ?		1
7.3.3.	Is a procedure in place for battery recharging and/or the refuelling of Material Handling Equipment ?		1
7.3.4.	Is the recharge area defined, indicated, ventilated and are PPE requirements specified ? <i>Assessor: The recharge area for the electric trucks is clearly marked and an additional vent opening has been fitted to improve ventilation in the area. LPG bottles are re-filled off site, and are stored in a separate well ventilated cage</i>		1
7.3.5.	Is the driving behaviour of MHE drivers safe and checked frequently ?	RCimp	1

8.	Behaviour Based Safety		<input type="text" value="Y/N"/>
8.1.	BBS programme		
8.1.1.	Does the company have a BBS programme in place for warehouse operations? <i>Assessor: Initial training is provided as part of the induction training. Warehousemen are assessed every three years by an internal FLT trainer. The assessment reports are reviewed by the Warehouse Manager and if short-comings have been identified, a revisions/ re-training programme would be defined.</i>	RC	<input type="text" value="1"/>
8.2.	BBS Training		
8.2.1.	Is BBS taken into account when reviewing the training requirements of managers and planners ? <i>Assessor: A BBS introduction session is part of the induction training of managers or planners and the employee signs that they have participated.</i>		<input type="text" value="1"/>
8.2.2.	Have internal or external persons been formally selected and designated as qualified BBS trainers ? <i>Assessor: An internal trainer has been appointed to train warehouse operatives.</i>		<input type="text" value="1"/>
8.2.3.	Has the BBS warehouse operator training content and format (based on observation, coaching and interactive communication) been developed ? <i>Assessor: The company is presently on BBS level 2.</i>		<input type="text" value="1"/>
8.2.4.	Has the BBS warehouse operator training frequency been defined and is it implemented ? <i>Assessor: The regular frequency of BBS training for warehousemen is three years. If an incident investigation or a BBS assessment identifies the need for re-training, this would be taken into account.</i>		<input type="text" value="1"/>
8.2.5.	Is a personal BBS-record kept on each warehouse operator with the observations made on their behavioural skills ? <i>Assessor: All BBS records are kept in the respective warehouse operative file, and samples were made available for a review.</i>		<input type="text" value="1"/>
8.3.	BBS Results, Analysis and Monitoring		
8.3.1.	Are individual results from the BBS training communicated to the warehouse operators, preventive actions agreed, recorded and implemented ?		<input type="text" value="1"/>
8.3.2.	Are annual key performance indicators (individual or group) identified and measured, such as :		
8.3.2a.	- Number of lost time accidents and personal injuries?	RC	<input type="text" value="1"/>
8.3.2b.	- Lost Time Injury Rate? <i>Assessor: This is part of the Responsible Care assessment.</i>		<input type="text" value="1"/>
8.3.2c.	- Average days of training per year ?		<input type="text" value="1"/>
8.3.2d.	- accidents/incidents/spills statistics ?	RC	<input type="text" value="1"/>
8.3.2e.	- levels of damage to storage equipment (e.g. racking) and cargo/inventory?	RC	<input type="text" value="1"/>
8.3.3.	Are the overall results and trends on above indicators analysed and are causes identified ? <i>Assessor: Based on the minutes of the safety committee meetings.</i>		<input type="text" value="1"/>
8.3.4.	Are these results, the structural trends and issues reported and discussed with the warehouse operators at regular intervals ? <i>Assessor: The results, trends and issues discussed during the safety committee meetings are communicated through e.g. the warehouse operative sitting on the committee or the warehouse manager.</i>	RCimp	<input type="text" value="1"/>
8.3.5.	Are the results and learning from BBS reflected in the refresher programmes ? <i>Assessor: The regular BBS assessment is defined by the company as the refresher training. The BBS warehousemen refresher addresses the KPI results.</i>	RCimp	<input type="text" value="1"/>

		Y/N
9.	Security in Warehousing	
9.1.	Has a security plan been developed and implemented for storage proportionate to the risks either in accordance with applicable legislation or the application of Best Practice? <i>Assessor: The security plan was available for a review during the assessment.</i>	1
9.2.	Are doors of the warehouses closed and locked to prevent unauthorised access when there are no operations?	1
9.3.	Do visitors to the site have to sign in and sign out?	1
9.4.	Are visitors accompanied?	1
9.5.	Are warehouse operators provided with company work wear?	1
9.6.	If a CCTV system is required by customer(s) or other parties, is it in place?	1
9.7.	Is the CCTV data storage protected against loss and tampering?	1
9.8.	Is the CCTV data storage area protected against unauthorised access? <i>Assessor: Coates operates a VPN to permit access to nominated users. The VPN and the security checks will ensure that only authorised IT hardware can access the IT system, including the CCTV stream.</i>	1
9.9.	Is it clearly indicated with signs that camera surveillance is applied?	1
9.10.	Is a checking system in place to ascertain that camera positioning is maintained and that cameras are properly working?	1
9.11.	If required by customer(s) or third parties, are there other security control systems installed? <i>Assessor: The fire doors and roller shutter doors have magnetic contact alarms fitted. Cable continuity alarms are fitted, which are relayed to a security company.</i>	1
9.12.	Is there a procedure in place to identify if stored products have been tampered with, or/and are missing ? <i>Assessor: A mis-picked incident report or a damage report would be issued and the issue would be investigated.</i>	1
9.13.	Are seal discrepancies investigated thoroughly, the shipment rejected if necessary, security personnel notified and extreme care taken if there is evidence of seal tampering ?	1
9.14.	Does the site have adequate security lighting?	1

		Y/N
10.	Site Operating Procedures and Customer Interface	
10.1.	Site Operating instructions and practices	
10.1.1.	Does the site have all the required operating licenses in line with the activities carried out ? <i>Assessor: At the time of the assessment, there was no requirement for a formal operating licence in the UK. HW Coates have completed the necessary documentation for a lower tier COMAH site, which is monitored by the HSE and the Environment Agency. The documentation was made available during the assessment for a review.</i>	RC 1
10.1.2.	Are all processes defined in the warehouse scope covered in written operating procedures ?	1
10.1.3.	Is the documented system that is in place for recording and investigating non-conformances, as it was asked in 5.1.2/3, applied to specific warehouse services such as package/receptacle, packing/unpacking, seal discrepancies?	1
10.1.4.	Are there comprehensive procedures at the facility including work permit requirements and marking of the work area, to ensure safety and to avoid exposure to hazardous materials, for non-standard and high risk operations such as :	
10.1.4a.	- entry into confined spaces ? <i>Assessor: A permit to work for entry into a confined space would be issued. The only confined space is in the water tank for the de-commissioned sprinkler system. Should the tank have to be entered, Coates would appoint a qualified contractor to carry out the work.</i>	RC 1
10.1.4b.	- breaking of containment (pumps/compressors/lines) ? <i>Assessor: No pumps/ compressors or pressure lines are installed.</i>	RC -
10.1.4c.	- hot work ? <i>Assessor: Examples of hot work permit were available for review.</i>	1
10.1.4d.	- work on electrical equipment ?	1
10.1.5.	Is there evidence that personnel working in related activities are suitably trained ?	1
10.1.6.	Are gas bottles used in the above work, safely stored before/during/after use ? <i>Assessor: The only gas bottles in use are the refill bottles for the LPG fork lift trucks.</i>	1
10.1.7.	Are there also comprehensive procedures / instructions at the facility for following operations :	
10.1.7a.	- use of nitrogen ? <i>Assessor: No nitrogen is in use. The company has neither a blending nor a filling line.</i>	-
10.1.7b.	- working at height (based on risk assessment) reflecting the hierarchy of requirements? <i>Assessor: Detailed risk assessment and permit to work procedure.</i>	RC 1
10.1.8.	Is there a documented programme for preventive inspection and maintenance covering the following items :	
10.1.8a.	- warehouse equipment ? <i>Assessor: MHE is regularly inspected by a Surveyor to insurance company Zurich, and the reports are archived in the Zurich repository.</i>	1
10.1.8b.	- emergency alarm systems (audible and/or visual) ?	1
10.1.8c.	- fire doors?	1
10.1.8d.	- interior lighting system, electrical installation?	1
10.1.8e.	- lightning and earthing systems? <i>Assessor: The warehouses do not have a lightning system installed. The water tank connected to the de-commissioned sprinkler system has an earth connection fitted. There are no up-to-date records of conductivity checks.</i>	0
10.1.8f.	- emergency showers, eyewash equipment and first aid devices ?	1
10.1.8g.	- breathing protection <i>Assessor: Warehouse operatives have access to filter masks as PPE. These are checked regularly.</i>	1
10.1.8h.	- fall arrest devices <i>Assessor: No fall arrest devices fitted or in use. The scissor lift is regularly surveyed by an insurance company surveyor.</i>	-
10.1.9.	Are waiting areas at cross docks clearly indicated and are drivers visible by wearing high visibility / retroreflective clothing?	1

			Y/N
11.	Order Process and Operations		
11.1.	Planning and Communication		
11.1.1.	Does the planning section communicate all relevant information and instructions to the warehouse operators, including but not limited to :		
11.1.1.a.	- any additional PPE to be used ? <i>Assessor: Any additional or special PPE requirement would be identified through the product acceptance procedure. Since all products are packaged and not processed, this PPE would only be required in case of an accident or incident. Warehousemen would follow procedure to first report to the office to be briefed on how to handle e.g. a spillage of this particular product.</i>	RC	1
11.1.1.b.	- any additional storage instructions (incl. stacking height) ? <i>Assessor: Storage instructions for rack storage are clear. In the flammable store, pallets can only be stored three layers high. This is clearly marked on displays. The site tour confirmed that storage instructions are being observed.</i>	RC	1
11.1.1.c.	- designated storage place ? <i>Assessor: The job order / picking sheet defines the storage location, and the number of packages to be stored in the defined location.</i>		1
11.1.1.d.	- customer requirements related to the warehouse orders ?		1
11.1.2.	Is the SULID document used to collect information on site safety and health conditions and communicated to the hauliers unloading in the site? <i>Assessor: The SULID document is not in use.</i>	RCimp	0
11.2.	Operations		
11.2.1.	Operator instructions		
11.2.1.1.	Are there comprehensive procedures / instructions to the operators on safe loading/unloading practices ? <i>Assessor: Procedures are in place and this was confirmed through interview.</i>	RC	1
11.2.1.2.	Is a procedure in place to ensure that the maximum gross vehicle weight is not exceeded throughout the planned journey ? <i>Assessor: The loading documentation shows the package weight and the number of packages. The driver can then calculate his loading weight.</i>		1
11.2.1.3.	Are procedures in place for checking cargo securing ? <i>Assessor: The primary responsibility rests with the driver. Warehousemen will check the cargo securing when the driver has completed his work. A check box on the loading report confirms that the vehicle has been loaded to the satisfaction of the driver, and he signs this; a check box confirms that the warehouseman has checked the load securing, and is signed by him.</i>		1
11.2.1.4.	Are container or truck unloading conditions clearly defined, regarding		
11.2.1.4a.	- weather conditions ?		1
11.2.1.4b.	- unloading requirements (temperature, pressure, time) ?		1
11.2.1.4c.	- fumigated or gassed compartments <i>Assessor: HW Coates report that they have never had a fumigated container delivered on-site. If this situation would arise, a risk assessment would be completed.</i>	RC	-
11.2.1.5.	Does the warehouse use a pre-loading checklist for trucks /containers ?		1
11.2.1.6.	Does the pre-loading checklist include the following verifications :		
11.2.1.6a.	- the tractor/trailer/containers are licensed to carry the product(s) to be loaded ?		1
11.2.1.6b.	- the driver is licensed to drive the vehicle with the product(s) ?		1
11.2.1.6c.	- the vehicle shows any apparent visual defect ?		1
11.2.1.6d.	- inspection of cargo compartment for cleanliness and potential risks (e.g. nails) ?		1
11.2.1.6e.	- the driver has been informed of relevant site regulations, safety instructions and emergency procedures affecting him during his stay at the warehouse site ? <i>Assessor: This information is part of the pre-loading checklist and the driver signs on the sheet.</i>		1
11.2.1.6f.	- visual inspection of tanks, valves and hoses for cleanliness ? <i>Assessor: no liquid cargo is received in road tanks or tank containers</i>		-
11.2.1.6g.	- correct hose connection and valve operation ? <i>Assessor: no liquid cargo is received in road tanks or tank containers</i>		-
11.2.1.6h.	- safe operation of any transfer equipment ? <i>Assessor: no liquid cargo is received in road tanks or tank containers</i>		-
11.2.1.6i.	- sampling responsibilities and safe sampling practices ? <i>Assessor: no liquid cargo is received in road tanks or tank containers</i>		-
11.2.1.7.	Are all trucks/containers checked after loading for :		
11.2.1.7a.	- correct sealing, marking and labelling, if so required ?		1
11.2.1.7b.	- correct stowage and securing of cargo?		1
11.2.1.7c.	- closed doors and twist locks of containers ?		1
11.2.1.7d.			

11.2.1.8.	- product compatibility and segregation ? Are all operational personnel involved in stowage and cargo securing, trained in appropriate technologies for securing of packaged goods ?	RCimp	1 1
11.2.1.9.	Does the warehouse procedure contain detailed instructions regarding the following aspects and are they implemented?		
11.2.1.9a.	- inventory control on regular basis ? <i>Assessor: An annual inventory check is conducted. A regular and on-going inventory check is ensured through the picking order. The warehouseman is instructed e.g. 'pick 2 cartons, leave 6 cartons'. If the warehouseman discovers a discrepancy, this would be reported to the office for investigation.</i>		1
11.2.1.9b.	- product shelf-life conditions and stock rotation?		1
11.2.1.9c.	- product & transportation regulatory labelling requirements?	RCimp	1
11.2.1.9d.	- notifying customs and other law enforcement agencies in case anomalies or illegal activities are detected and/or suspected ?	RCimp	1
11.2.1.9e.	- notifying affected customers of any irregularities which might occur ?		1
11.2.1.9f.	- use of mobile phone inside the warehouse ?		1
11.2.1.9g.	- before loading, verification that the vehicle is furnished with the required equipment (ADR goods) ?		1
11.2.1.9h.	- prevention of uncontrolled vehicle movement or drive away (e.g.. wheel chocks) ?	RCimp	1
11.2.1.9i.	- use of a support system to replace the tractor during loading and unloading (e.g.. "elephant leg") ? <i>Assessor: Trailers are not uncoupled at the site.</i>		-
11.3.	Administration		
11.3.1.	Record control		
11.3.1.1.	Are record keeping requirements defined and is compliance checked regularly?		1

			Y/N
12.	Specific types of Warehousing Activities		
12.1.	Shuttle Service		
12.1.1.	Do the procedures clearly identify the ownership and liabilities regarding the passage of risk from owner to operator and back again if required ?		-
12.1.2.	Is the operators transport assessed using SQAS Transport Service or an equivalent assessment system ?		-
12.1.3.	Is the use of materials handling equipment for shuttling (like forklift trucks and reach stackers) banned by the operator on public roads ?		-
12.1.4a.	Are trailers/trucks used for shuttle services approved according to the local legislation for public roads?	RC	-
12.1.4b.	Do drivers used in shuttle service operations comply with legal requirements?	RC	-
12.2.	Filling and/or Blending Operations of Liquid Products (Drums and/or IBC's)		
12.2.1.	General		
12.2.1.1.	Has a risk assessment been carried out for specific risks relating to all products filled or blended and all filling and blending lines, including :		
12.2.1.1a.	- exceeding exposure limits to hazardous products?: Operations included are: filling/blending, connection/disconnection, sampling, cleaning, etc.	RC	-
12.2.1.1b.	- handling of Carcinogenic, Mutagenic or toxic to Reproduction (CMR) products ?	RC	-
12.2.1.1c.	- compatibility of pipes, hoses and auxiliary equipment with products?		-
12.2.1.1d.	- unintended mixing of incompatible products		-
12.2.1.2.	Is the floor area clean, dry and free from obstacles ?		-
12.2.1.3.	Are emergency exits from the filling/blending area clearly marked, immediately accessible and free from obstacles ?		-
12.2.1.4.	When drum/IBC filling is undertaken directly from the tank vehicle, is it via a fixed installation ?	RCimp	-
12.2.1.5.	Has the filling process and storage areas been ATEX assessed, have the resultant zones been clearly identified on site, and has a site plan been developed and communicated to all relevant personnel ?		-
12.2.1.6.	For equipment that is not dedicated to one substance, is a procedure in place for decontamination and cleaning, after filling operations, to avoid substance cross contamination?		-
12.2.2.	Equipment		
12.2.2.1.	Are measures taken to mitigate the risks identified in 12.2.1.1.a?		-
12.2.2.2.	Is the filling equipment in good condition and well maintained?		-
12.2.2.3.	Are dedicated hoses in use ?		-
12.2.2.4.	Are hoses in use tested annually, repaired or replaced as needed, and records kept accordingly ?	RCimp	-
12.2.2.5.	Are conveyors equipped with appropriate gangways to allow safe crossing for the operator ?		-
12.2.2.6.	When filling is automated, is the filling machine equipped with :		
12.2.2.6a.	- a system to close line valves and stop the machine automatically in an emergency?		-
12.2.2.6b.	- an overflow protection detecting a high liquid level in the drum, independent from the weigh scale ?		-
12.2.2.6c.	- vapour return lines (and/or adequate exhaust lines) to capture vapours from product being drummed and to take these away from the drumming area ?	RCimp	-
12.2.2.6d.	- sub-surface filling lances to avoid static electricity accumulation and foaming of the liquids ?		-
12.2.2.6e.	- all parts (e.g. piping/hoses/seals) resistant to or compatible with the products to be handled ?	RC	-
12.2.2.7.	Does the filling system incorporate an automatic shut-off driven by the measurement of the product dispensed ?	RCimp	-
12.2.2.8.	Is the measuring system calibrated regularly ?		-
12.2.2.9.	Are the loading lines and valves identified with clear, easy to read markings indicating contents or line number ?		-
12.2.2.10.	For flammable products :		
12.2.2.10a.	- are all filling/blending equipment, scales, drum rollers, pumps and tanks earthed ?		-
12.2.2.10b.	- is earthing equipment (mechanism) in good condition ?		-
12.2.2.10c.	- is earthing equipment regularly tested ?	RC	-
12.2.2.10d.	- does the filling system incorporate an earthing safety interlock system ?		-
12.2.2.10e.	- is the conductivity to earth measured to confirm resistance is within		-

12.2.2.11.	acceptable limits and recorded at regular intervals ? Are there facilities for lifting drums/bags to the blending vessels without risk of injury ?		-
12.2.2.12.	In case of an emergency, can the drumming / blending operation be shut down immediately by a manual emergency stop?		-
12.2.2.13.	In case of an emergency, can the drumming / blending operation be shut down from a safe location ?		-
12.2.2.14.	Is an alarm system available in the area, so that an operator can call for help if needed ?		-
12.2.2.15.	Are emergency showers present near to the working area and ready to use?		-
12.2.3.	Environment		
12.2.3.1.	Is there a liquid-tight floor in the drumming/blending area ?		-
12.2.3.2.	Does the filling area have a system of spill containment ?		-
12.2.3.3.	Is any spilled material disposed of safely?		-
12.2.3.4.	Is exposure to product vapours adequately controlled ?	RCimp	-
12.2.3.5.	Is the vapour vent outlet connected to a vapour treatment unit, if required ? (e.g. for acids, alkalis and highly toxics.)	RCimp	-
12.2.3.6.	Are areas around pumps, valves and fittings free from any evidence of leaks ?		-
12.2.3.7.	Is the exterior of the packaging clean and free of product contamination ?		-
12.2.3.8.	Is there a procedure to handle wastes generated from site filling activities and are they properly classified and stored in appropriate packaging that comply with local legislation?		-
12.2.4.	Bulk Storage Tanks (Including Waste Storage)		
12.2.4.1.	Are the tanks approved for the goods stored and identified/labelled accordingly ?		-
12.2.4.2.	For above ground tanks, is the spill containment (e.g. bunding) in good condition and in compliance with local regulations ?	RC	-
12.2.4.3.	Are high level alarms on storage tanks installed and periodically inspected / maintained ?		-
12.2.4.4.	Is there no visible evidence of leaks (fittings, pumps, tanks, valves etc.) or spills ?		-
12.2.4.5.	Does the company do periodic inspection of underground storage in compliance with local regulations?		-
12.2.5.	Operations		
12.2.5.1.	Is a documented procedure for filling and/or blending by designated operators in place that includes the correct specification of packaging to be used and pre-filling inspection, cleanliness and integrity ?		-
12.2.5.2.	Is the drum flushed with inert gas prior to filling, if required ?		-
12.2.5.3.	Is initial velocity of liquid entering the drum limited until the inlet nozzle is well covered ?		-
12.2.5.4.	Is the maximum filling ratio/degree defined and controlled ?		-
12.2.5.5.	Is a venting or vapour treatment system installed for vapours in the filling area ?	RCimp	-
12.2.5.6.	Are individual plugs removed from each drum put back into the same drum after filling ?		-
12.2.5.7.	Are closures applied in accordance with the UN test certificate/ manufacturers recommendations (torque) ?		-
12.2.5.8.	Are product safety labels used and applied according to legislative requirements?		-
12.2.5.9.	Are filled drums stored in a safe and proper way ?		-
12.2.5.10.	Are empty drums stored in a safe and proper way ?		-
12.2.5.11.	Are all blending vessels stable and supported ?		-
12.2.5.12.	Is there a procedure in place for the legal disposal of packages ?	RCimp	-
12.2.5.13.	Is a safe drum line installation cleaning process in place?		-
12.3.	Loading and/or unloading of bulk solids		
12.3.1.	Equipment		
12.3.1.1.	Are silos equipped with:		
12.3.1.1a.	- manhole including hatch cover with dripping rim?		-
12.3.1.1b.	- access ladder/railings ?		-
12.3.1.1c.	- "bird" free vents ?		-
12.3.1.1d.	- long radius pipe bends ?		-
12.3.1.1e.	- pipelines that are adequately supported ?		-
12.3.1.1f.	- bottom valves at minimum 4.10 meter clearance ?		-
12.3.1.2.	Is content/level measurement installed on each silo ?		-
12.3.1.3.	Are blowers oil free ?		-
12.3.1.4.	Is there a filter on blower air intake ?		-
12.3.1.5.	Is conveying temperature max. 60 deg. C ?		-

12.3.1.6.	Are conveying pressure and velocity controlled ?		-
12.3.1.7.	Are all rotating parts protected ?		-
12.3.1.8.	Are product hose requirements defined and are they compliant ?		-
12.3.1.9.	Are flexible hoses used for loading/unloading in good condition and clean?		-
12.3.1.10.	Are all inlet and outlet connections capped, clearly identified and in good condition ?		-
12.3.1.11.	Is bottom outlet construction such that no remaining product is left in the system ? (i.e. "dead end piece")		-
12.3.1.12.	Is the measuring system (weighbridge) calibrated according to legal requirements ?		-
12.3.1.13.	Is the electrical equipment in good conditions and well maintained ?		-
12.3.1.14.	Are bonding/earthing wires and clamps in good condition ?		-
12.3.1.15.	Is earthing equipment regularly tested ?		-
12.3.1.16.	Is there a separate earth connection for each silo to the main earthing grid ?		-
12.3.1.17.	Has the filling process and storage areas been ATEX assessed, have the resultant zones been clearly identified on site, and has a site plan been developed and communicated to all relevant personnel ?		-
12.3.1.18.	Are all conveying equipment components used in zoned areas suitable and explosion proof ?		-
12.3.1.19.	Is fire fighting equipment with adequate capacity present near the loading/unloading area ?		-
12.3.1.20.	Are emergency stop buttons present, easily accessible and clearly marked ?		-
12.3.1.21.	Is an alarm system available in the area, so that an operator can call for help if needed ?		-
12.3.1.22.	Is the emergency button tested regularly?		-
12.3.1.23.	Are emergency warnings present and visible ?		-
12.3.2.	Operations		
12.3.2.1.	Is a documented procedure in place for loading from and/or unloading into silos by designated operators?		-
12.3.2.2.	Is it ensured that the driver and/or the operator stay in control during the full loading/discharge operation ?		-
12.3.2.3.	Are the reception silo and the vehicle readily visible to the driver/operator ?		-
12.3.2.4.	Are procedures in place to ensure that the right product goes into the right silo and that sufficient space is available?	RC	-
12.3.2.5.	Are filling points capped and locked and is a procedure implemented to issue keys for loading operators or drivers?		-
12.3.2.6.	Is there enough clearance around silos for truck manoeuvring ?		-
12.3.2.7.	Is the (un)loading area well surfaced ?		-
12.3.2.8.	Is sufficient clearance available for tipping trucks and containers (if applicable) ?		-
12.3.2.9.	Is there an adequate sewer system in place in the loading / unloading area to allow the collection of rinse water ?		-
12.3.2.10.	Is there a clear escape route from the (un)loading area to the defined assembly point?		-
12.3.2.11.	Is the gantry and vehicle covered by a weatherproof roof ?		-
12.3.2.12.	Is equipment available to get safely on top and to work safely at the silo area?	RC	-
12.3.2.13.	Are stairs/ladders clean and free from obstruction ?		-
12.3.2.14.	Is the gantry floor constructed to prevent slipping ?		-
12.3.2.15.	Are pipelines regularly inspected, maintained and actions recorded ?		-
12.3.2.16.	Are gantries and pipelines protected against collisions ?		-
12.3.2.17.	Can the truck be filled without moving the vehicle ?		-
12.3.2.18.	Are the silos, the loading lines, and the valves identified with clear, easy to read markings, indicating the contents and/or identification numbers ?	RCimp	-
12.3.2.19.	If applicable, are silos and all equipment (hoses, pipes, pumps, etc.) cleaned to avoid cross contamination?		-
12.3.2.20.	Are connecting flanges equipped with safety devices to avoid opening due to vibrations during product transfer ?		-
12.3.2.21.	Are (un)loading procedures available and are they known by operators?		-
12.3.2.22.	Are procedures in place to avoid the dangerous formation of dust ?	RCimp	-
12.3.2.23.	Are manholes/hatches kept tightly closed when not in use ?		-
12.3.2.24.	Can vehicle(s) easily leave the unloading area in the event of emergency and is the escape route unobstructed ?		-
12.3.3.	Environment		
12.3.3.1.	Is any spilled material disposed of safely?		-

12.3.3.2.	Is the exterior of the loading/unloading equipment clean and free of product contamination ?	-
12.3.3.3.	Where the warehouse handles plastics: are there measures in place designed to prevent pellet /flake/powder loss?	-
12.3.3.4.	Is the company carrying out inspection for pellet/flakes/powder loss?	-
12.4.	Bagging and/or Packaging Operations of Solid Products (Bags, Big Bags, and/or Octabins)	
12.4.1.	General	
12.4.1.1.	Is the packaging area protected/covered against adverse weather ?	-
12.4.1.2.	Is the floor area clean, dry and free from obstacles ?	-
12.4.1.3.	Are emergency exits from the packaging area clearly marked, immediately accessible and free from obstacles ?	-
12.4.1.4.	When bagging or packaging is done directly from the bulk vehicle, is it done via a fixed installation ?	-
12.4.1.5.	If the risk of an explosive atmosphere was identified, has the packaging area been ATEX assessed, have the resultant zones been clearly identified on site, and has a site plan been developed and communicated to all relevant personnel ?	-
12.4.2.	Equipment	
12.4.2.1.	Is there a preventive maintenance programme on the packaging equipment ?	-
12.4.2.2.	Are conveyors equipped, if required, with appropriate gangways to allow safe crossing for the operator ?	-
12.4.2.3.	Is the weighing system calibrated regularly ?	-
12.4.2.4.	For the handling of dry-bulk products : is earthing equipment (mechanism) in good condition, regularly tested and is the conductivity to earth measured to confirm resistance within acceptable limits and recorded at regular intervals ?	-
12.4.2.5.	Are the facilities for lifting packages such as big bags or similar to the packaging machinery taken into account in the risk assessment of the packaging operation?	-
12.4.2.6.	In case of an emergency, can the packaging operation be shut down immediately by pushing a red (emergency stop) button ?	-
12.4.2.7.	Is an alarm system available in the area, so that an operator can call for help if needed ?	-
12.4.3.	Operations	
12.4.3.1.	Is a documented procedure for packaging in place ?	-
12.4.3.2.	Is there a procedure in place to check that the correct packaging is selected prior to starting the packaging?	-
12.4.3.3.	Are empty packaging materials stored in a safe way ?	-
12.4.3.4.	Is there a procedure in place for the legal disposal of classified and unclassified packaging waste?	-
12.4.3.5.	For equipment that is not dedicated to one substance, is a procedure in place for decontamination and cleaning, after filling operations, to avoid substance cross contamination?	-
12.4.3.6.	Are product samples traceable and stored in a safe and proper way?	-
12.4.4.	Environment	
12.4.4.1.	Is any spilled material disposed of safely?	-
12.4.4.2.	Is the exterior of the packaging equipment clean and free of product contamination ?	-
12.4.4.3.	Where the warehouse handles plastics: are there measures in place designed to prevent pellet /flake/powder loss?	-
12.4.4.4.	Is the company carrying out inspection for pellet/flakes/powder loss?	-

13.	Subcontracted Services:		<input type="text" value="Y/N"/>
13.1.	Service partners		
13.1.1.	Is there a documented process defining and choosing the logistics solution and selecting the service partners for each business assigned to the company including a risk assessment covering SHEQ&Sec&CSR elements?	RCimp	<input type="text" value="-"/>
13.1.2.	Has the company a documented process for the evaluation and performance monitoring of all its service partners ?	RC	<input type="text" value="-"/>
13.1.3.	Are annual SHEQ&Sec & CSR targets set for, and communicated to all involved service providers?		<input type="text" value="-"/>
13.1.4.	Does the company actively monitor the service providers actions to ensure achievement of all these targets ?	RCimp	<input type="text" value="-"/>
13.1.5.	Is there a documented plan for assessing service providers in all applicable areas referred to in SQAS and their compliance with legal requirements?	RCimp	<input type="text" value="-"/>
13.2.	Contractors		
13.2.1.	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?	RCimp	<input type="text" value="-"/>

		Y/N
14.	Handling practices of Food, Food contact and Feed Products ingredients	
14.1.	Is the company applying GMP, GMP+ and/or HACCP principles to the operations ?	
14.1.1.	Are there GMP/GMP+/HACCP (or similar) principles part of the quality system ?	-
14.1.2.	Is there an adequate contamination and degradation prevention 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?	-
14.1.4.	Are critical control points (CCPs) identified?	-
14.1.5.	Has a HACCP plan been documented?	-
14.1.6.	Is there a monitoring system for each CCP identified?	-
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.	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 from receipt to product dispatch ?	-
14.4.	Are there procedures in place and documentation available to ensure consistency of product quality ?	
14.4.1.	Is it ensured that bulk transport equipment and containers received and delivered are properly sealed (if so required)?	-
14.4.2.	Are banned lists for particular products available?	-
14.5.	Are there written procedures for sampling in place and maintained ?	
14.5.1.	Are utensils and sampling devices cleaned and stored in a manner to prevent contamination ?	-
14.6.	Are there appropriate precautions taken to avoid cross-contaminations and degradation during operations ?	
14.6.1.	Is the water and the disinfection products that come into contact with the food, food contact materials / animal feed materials of a proven suitable quality?	-
14.6.2.	Is each piece of equipment designed and used in a manner that minimizes the potential for contamination or degradation of the product with lubricants, coolants, metal fragments, or other extraneous materials e.g. from pressurised air ?	-
14.6.3.	Are there effective procedures in place such as buffering or cleaning of equipment to monitor or avoid cross contamination when switching/changing between different grades/products?	-
14.6.4.	Is there a physical separation or a control system to segregate products that have been released for use or distribution from products pending release, non-conforming products or product returns?	-
14.6.5.	Is a suitable pest control program implemented and maintained ?	-
14.7.	Are procedures in place for complaint handling, product recall and incident management?	
14.7.1.	Is there a contamination response procedure in place?	-
14.7.2.	Are there measures in place to ensure that non-conforming or recalled products are not released without proper authorisation?	-
14.7.3.	Is there a product recall procedure?	-
14.7.4.	Is the product recall procedure tested?	-
14.8.	Are procedures in place for internal audits?	
14.8.1.	Is there a documented plan for internal auditing of all areas referred to the GMP/GMP+ and HACCP questionnaire?	-
14.9.	Storage in silos	
14.9.1.	Are all pieces of equipment coming in contact with the product compatible with the product and in compliance with requirements ?	-
14.9.2.	Is the storage tank equipped with a monitored nitrogen blanketing system or a drying equipment, if necessary, to protect the product against oxidation and / or moisture?	-

14.9.3.	Is the quality of the blanketing gas, if used, compatible with the Product ?	-
14.9.4.	Is it ensured that the storage temperature is always kept within a defined range and controlled, if necessary, for product quality or stability ?	-
14.9.5.	Do you ensure that your sampling installation is able to provide a representative sample ?	-
14.10.	Loading and unloading of unpacked products	
14.10.1.	Are appropriate loading and unloading procedures in place ?	
14.10.1.1.	Is there a procedure in place that requires the driver/operator to only open one tanklid at a time during loading ?	-
14.10.1.2.	Is the loading / unloading equipment in contact with products dedicated, or, are validated cleaning procedures applied between loadings ?	-
14.10.1.3.	Is all the equipment in contact with products identified ?	-
14.10.1.4.	Is all the equipment in contact with products capped and/or properly stored after the operation, according to written procedures ?	-
14.10.1.5.	Do you seal all valves and openings after loading ?	-
14.10.1.6.	Do you check the integrity of the seals before unloading ?	-
14.10.1.7.	Do you seal all valves and openings after cleaning ?	-
14.10.1.8.	Do you check the integrity of the cleaning seals before loading ?	-
14.11.	Packaging	
14.11.1.	Is the environment and the packaging equipment in contact with products designed to protect product quality ?	
14.11.1.1.	Is the packaging equipment in contact with products dedicated, or are validated cleaning procedures applied in case of product changes and is the equipment in contact with products clearly identified?	-
14.11.1.2.	Is the environment of the packaging operation clean and dust free ?	-
14.11.1.3.	If hazardous (e.g. toxic, corrosive etc.) products are present on the site, is there a written procedure for the segregation or prevention of contamination ?	-
14.11.2.	Are there packaging operations in place to ensure product quality and traceability?	
14.11.2.1.	Are there written procedures and records in place for all packaging and labelling operations ?	-
14.11.2.2.	Is each packed lot linked to a retained sample, if required by the customer?	-
14.11.3.	Are there control procedures in place to ensure appropriate quality of packaging materials ?	
14.11.3.1.	Is the assessed company controlling the cleanliness of containers prior to filling ?	-
14.11.3.2.	For each cleanliness inspection, does the assessed company keep a written report ?	-
14.11.4.	Are there appropriate procedures in place for processing and re-processing operations ?	
14.11.4.1.	Are there written procedures in place for each processing and reprocessing operation ?	-
14.12.	Warehousing and shipments of packed products	
14.12.1.	Are there appropriate warehousing procedures in place to protect product quality ?	
14.12.1.1.	Are containers of sensitive products stored under appropriate storage conditions that are adequately monitored ?	-
14.12.1.2.	In case you have to open a container, do you have a written procedure to prevent contamination ?	-
14.12.1.3.	Do you re-seal the container after opening ?	-
14.12.1.4.	Are there appropriate loading and shipment procedures in place ?	-
14.12.2.	Are there appropriate procedures in place for the handling of returned Food Contact products ?	
14.12.2.1.	Are returned products stored separately and appropriately handled, according to written procedures ?	-
14.13.	Specific GMP+ Questions	
14.13.1.	Are there appropriate procedures in place in relation to Animal Feed?	
14.13.1.1.	Is there a procedure in place for the cleaning regime in accordance with the GMP+ Animal Feed product database requirements?	-
14.13.1.2.	Is there a procedure in place on how to work with the GMP+ Animal Feed Product Database and its updates?	-
14.13.1.3.	Is there a procedure in place for the order planning in accordance with the GMP+ Animal Feed product database requirements?	-
14.13.1.4.	Is there a procedure in place to establish the Animal Feed product category of a new product to be transported?	-

- 14.13.1.5. Does the assessed company have a procedure in place to follow the GMP+ Animal Feed required steps that would allow the re-use of cargo compartments, incl. tanks, after the carriage of any product included in the list of forbidden products?

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Comment of assessor:

Comments of assessed company:

Improvement Action Program:

Website reference: ---

Updated on: