TRANSPORT COMPLIANCE RATING

SELF - ASSESSMENT

INTRODUCTION

The need to make use of reliable transport and logistics services is of primary importance for any category of client. It is therefore essential to have a supplier selection and qualification process that provides adequate guarantees on their regulatory compliance, in order to avoid possible involvements.

The logistics and transport operator shall demonstrate to control the risk factors and the dangers related to their activities with particular reference to:

1. organizational structure and management
2. product security and safety
3. occupational health and safety
4. environment
5. road safety
6. insurance
7. information technologies
8. integrity and reputation.

The main requirements are those provided by numerous international standards:

- ISO 9001:2015
- ISO 14001:2015
- ISO 45001:2018
- ISO 39001: 2016
- ISO 31000: 2018

- ISO 22301:2012
- ISO 50001:2018
- ISO 27001:2017
- ISO 28001:2007
- ISO 22000:2018

- ISO 26000:2020
- SA 8000:2014
- ISO 37001:2016
- TAPA FSR, TSR
- IFS LOGISTCS 2.2

The evaluation is done through the two phases of **Due Diligence** and **On-Site Audit.**

The on-site audit is carried out with the use of a Checklist. Each question of the list offers three are the possible results:

1. It does not meet the minimum standards required;
2. It partially meets the required standards;
3. It fully complies with the required standards.

Some specific requirements are mandatory and their non-application leads to non-qualification and prevent the company from obtaining the final rating. The assessment check lists indicates the impediment requirements, which are marked with the word "STOP".

For each point of the Checklist, a score is assigned:

1. 0 Points;
2. 5 Points;
3. 10 Points;

The final evaluation involves assigning an overall rating. The rating scale is:

0-40% of compliance: The company is not eligible for the qualification system.

41-69% of compliance: The company presents some critical elements which have to be improved within 6 months since their acknowledgement. If there are no improvements in the identified areas by the next inspection, the company will be deemed not eligible to the qualification system.

70-89% of compliance: The company is eligible for qualification with some minor elements to improve. A new inspection will be performed after 12 months.

Above 90% of compliance: The company is fully compliant with the qualification system. This compliance rate is considered valid for 24 months.

Each assessment area must reach more than 40% of compliance in order to consider the company eligible to the qualification system.

To better understand the ability of an organization to acquire the TCR rating, you can refer to a self-assessment checklist that collects 30% of the most important requirements of the TCR.

ORGANIZATIONAL STRUCTURE AND MANAGEMENT

Has the company obtained the legally required authorizations to perform its activities?	If the company is not COMPLIANT, it is not possible to proceed with the qualification.
Does the organization have an organization chart explaining the organization's structure? If there are more operating structures, does the organization chart include them?	1- There is no organization chart 2- It exists, but does not include all the functions 3- There is a complete organization chart
Has a policy that contains at least the below aspects been defined? - Product safety - Attention to customers - Respect and environmental sustainability - Safety in the workplace - Ethics and respect for employees and contractual provisions - Resources and structures - Legislative compliance?	1- No 2- Yes, but it is incomplete compared to the points indicated 3- Yes
Does the organization manage the contractual aspects with its subsidiaries or associated companies in the transport and logistics sector?	1- No 2- Yes, but in incomplete form 3- Yes
Do the subcontracting contracts contain the essential elements required by the law?	1- No 2- Yes, but in incomplete form 3- Yes
If the organization has warehouses and actually performs logistic activities, does it do so with its own staff or does it rely on third parties (for example cooperative societies)?	1- Yes, without formalizing the controls and without a qualification system 2- Yes, with the constant presence of own staff but without formalization of the controls and the qualification system 3- Yes, with the formalization of the controls and with a qualification system

PRODUCT SECURITY AND SAFETY

Has a risk management system for product safety been implemented that is based on known and accepted HACCP or ISO 31001 principles?	1- There is no documentation 2- Partial documentation 3- Present and complete documentation
Does the risk management include all types of products, e.g. products not packaged and packaged, at controlled temperature and at room temperature?	1- There is no risk management 2- Risk management only for some types 3- Present and complete risk management
The boundaries of the plant have been clearly identified. Are the measures (fences, barriers) active to prevent unauthorized access?	1- Failure to meet the requirement 2- Partial presence of the requirement 3- Complete presence of the requirement
Have security procedures been developed and implemented for drivers when they stop to eat, refuel, rest, etc.?	1- Absent procedures 2- Procedures verified in the field, but not documented 3- Present and documented procedures
Are floor plans that identify all the entrances and exits available?	1- Failure to meet the requirement 2- Partial presence of the requirement 3- Complete presence of the requirement
Has formal information regarding the prohibition of transporting people outside the company on the company vehicle been given?	1- Absent procedures 2- Procedures verified in the field, but not documented 3- Present and documented procedures

If cooperatives or other external subjects are used, is the check on the turnover of the people carried out?	1- Absent procedures 2- Procedures verified in the field, but not documented 3- Present and documented procedures

OCCUPATIONAL HEALTH AND SAFETY

Has the employer conducted a risk assessment with regards to occupational health and safety and drafted the relative document?	1- Not present 2- Yes, but it is not complete or updated 3- Yes
Does the employer ensure that each worker gets enough and adequate training?	1- Less than 70% of personnel has been adequately trained 2- Between 70% and 90% of personnel has been adequately trained 3- More than 90% of personnel has been adequately trained
Does the company doctor plan and perform the health surveillance and express his/her own judgments regarding specific tasks?	1- Protocol not present 2- Protocol not updated 3- Protocol present
Do workers in charge of fire prevention and firefighting, rescuing activities, first aid and other emergencies management get adequate training and update courses?	1- Not present 2- Training not updated (max. delay 1 year from the time required by law) 3- Present
Did the employer provide workers with equipment that complies with the specific legislative and regulatory provisions transposing the EU product directives?	1- Not compliant 2- Not all compliant but without obvious hazards 3- Everything compliant
Does the employer perform periodic checks of the working equipment?	1- No 2- Partially 3- All equipment checked
Are PPEs identified in the risk assessment?	1- No 2- Not all of them 3- All equipment is used and managed
When there are risks that cannot be avoided or sufficiently limited by measures, procedures or work organization systems, or by technical means of collective protection, does the employer make use of safety signs and road traffic signs where applicable?	1- Not present 2- Incomplete and/or unclear signposting 3- Complete signposting
Has the assessment of fire hazards and the classification of the risk level (low, medium, high) been carried out? Does the assessment contain the necessary indications? Are fire prevention devices correctly managed?	1- Not present 2- Not updated and or devices not identified 3- Complete
In case of management of logistics activities, are there areas and equipment compliant with safety standards? Do the storage methods comply with safety standards?	1- Standards not respected 2- Not adequately managed 3- Adequately managed

ENVIRONMENT

If waste is produced in the entrepreneurial activity, are the quantities and types of handled waste recorded according to the regulations?	1- No 2- Not complete registrations 3- Yes

Are the used oils (and any used filters) put in containers with adequate resistance to their chemical-physical properties and dangerousness and provided with: a) suitable closures to prevent leakage b) devices for safely filling and emptying c) gripping means to make handling safe and easy d) labeling that identifies the content ?	1- Unsuitable containers 2- Containers that are not perfectly suitable (e.g. closures that do not guarantee a perfect seal) 3- Suitable containers
If the company discharges liquid due to the presence of a vehicle washing area, does it do so adequately?	1- Not adequate 2- Not completely adequate 3- Adequate
Has the company organized environmental courses?	1- Not adequate 2- Not completely adequate 3- Adequate

ROAD SAFETY

Has the company given a job description or regulation describing how to behave in various situations (loading/unloading procedures, road accident, vehicle cleaning, correct use of the tachograph, etc.) to the drivers?	1- There is no job description or not all drivers have received a copy of it 2- Incomplete job description 3- Complete job description. Every driver has received a copy of it
Is there a maintenance program of the vehicles?	1- No 2- Yes, but incomplete 3- Yes
Did drivers attend to a course about the use of the tachograph?	1- Less than 70% of personnel has been adequately trained 2- Between 70% and 90% of personnel has been adequately trained 3- More than 90% of personnel has been adequately trained
Do drivers have the required documentation on board?	1- No 2- Yes, but incomplete 3- Yes
Are .ddd files managed in compliance with the law?	1- No 2- Yes, but incomplete 3- Yes

INSURANCE

Does the company have a timetable for its insurance policies?	1- No 2- Yes, but incomplete 3- Yes
Does the company have an insurance policy against third party liability for all its vehicles?	1- Some vehicles are not insured 2- All insurance policies are valid 3- The insurance policies have a higher limit than the minimum required by law

Does the company have an insurance against carrier liability?	1- No 2- With non-coverage clauses 3- Yes
Does the company have a cargo insurance policy?	1- No 2- With non-coverage clauses 3- Yes
Does the company have an insurance policy against civil liability towards operators?	1- No 2- With non-coverage clauses 3- Yes
INFORMATION TECHNOLOGIES	
Has the company implemented a Personal Data Protection System in compliance with the GDPR REG EU 679/2016?	1- No 2- Yes, but incomplete 3- Yes
Does the company website meet information security requirements?	1- No 2- Yes, but incomplete 3- Yes
Does the company have a satellite system on board motor vehicles or semi-trailers in case of hook / unhook activity?	1- Below 50% 2- Between 50% and 99% 3- On all vehicles
Does the company have a TMS management system for travel management?	1- No 2- Software not specific for transport or developed internally 3- Software for a specific company in the transport sector
INTEGRITY AND REPUTATIONAL	
Has the organization implemented formal policies in relation to one or more of the following issues? - Anti-corruption and extortion - Conflict of interest - Fraud - Money laundry - Anti-competitive practices - Truthfulness of marketing and advertising messages	1- No policy 2- Anti-corruption and extortion, Fraud, Money laundering, Anti-competitive practices 3- Complete policy that includes all issues
Has the organization measures to prevent corruption and bribery?	1- No policy 2- Anti-corruption and extortion, Fraud, Money laundering, Anti-competitive practices 3- It has a complete range of measures
Has the organization measures for the evaluation of the business associates regarding reputational aspects?	1- No 2- Yes, but not adequately brought to the attention of interested parties 3- Yes, and adequately brought to the attention of interested parties
Is there an ethical code?	1- No 2- Yes, but not adequately brought to the attention of interested parties 3- Yes, and adequately brought to the attention of interested parties