

Fleet Operator Recognition Scheme standards

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I Introduction

I.1 What is the Fleet Operator Recognition Scheme?

The Fleet Operator Recognition Scheme (FORS) is a voluntary scheme for fleet operators.

Its purpose is to raise the level of quality within fleet operations, and to demonstrate which operators are achieving the standard. Contained within this document are the requirements for achieving recognition in order to be awarded FORS accreditation to bronze, silver, and gold levels.

FORS encourages operators to take a closer look at their operation and identify areas of strength to be exploited and areas for improvement to be addressed. A successful bronze audit provides an operator with reassurance that their operation is being run safely, efficiently and in an environmentally sound manner. The FORS logo allows potential customers to readily distinguish FORS operators from other operators. Users of fleet operator services may ask that their suppliers are FORS accredited.

I.2 Terminology

Certain language is used within this document which has the following meanings (a full glossary of terms can be found in Annex 1):

Terms relating to organisations:

- ◆ Fleet operator - any organisation or part thereof which operates one or more vehicle(s)
 - ◆ Operating centre - in relation to any vehicles, means the base or centre at which the vehicle is normally kept, and references to an operating centre of the holder of an operator's licence are references to any place which is an operating centre for vehicles used under that licence
 - ◆ Client – an organisation employing fleet operator contractors. This may be a developer employing a primary contractor or a primary contractor employing a sub-contractor
 - ◆ Certification body – those companies approved by the scheme administrator to undertake audits to the FORS standard
 - ◆ Scheme administrator - the body responsible for administering FORS
- Terms relating to types of audit:
- ◆ Initial audit – a first audit of a fleet operator
 - ◆ Follow-up audit - an audit convened to observe the correction of any found action point
 - ◆ Re-approval audit - a periodic audit of a FORS certified fleet operator or auditor
 - ◆ Witnessed audit - an audit which is witnessed by a representative of the scheme administrator
- Terms relating to the requirements of the standard:
- ◆ Shall – to indicate something which is mandatory as part of the requirement or in order to achieve the requirement
 - ◆ Should – to indicate something which is recommended as emerging practice
 - ◆ May – to indicate permission or an emerging best practice option
- Fleet operators and auditors should check each requirement to the following general procedures:
- ◆ Considered - senior management should consider each requirement carefully in the context of their own business and ensure that sufficient human and material resources are available
 - ◆ Written - requirements often involve some form of written documentation, and these may already exist and be acceptable to meet the requirements

- ◆ Communicated – company operations relating to these requirements should be communicated to the relevant parties within the business
- ◆ Implemented - requirements need to be in general use within the business
- ◆ Reviewed - should be regularly reviewed and action taken where necessary

I.3 Scheme administrator

The Fleet Operator Recognition Scheme is administered by the FORS Community Partnership (FCP). The FCP comprises AECOM, the Chartered Institute of Logistics and Transport (CILT) and Fleet Source. For all enquiries please contact:

FORS
c/o AECOM
Sunley House
4 Bedford Park
Croydon
CR0 2AP

www.fors-online.org.uk

Email: enquiries@fors-online.org.uk

2 Guidance for fleet operators

The purpose of this section is to guide fleet operators in having their operations recognised under the Fleet Operator Recognition Scheme (FORS).

FORS is a method of recognising those fleet operations which comply with the requirements of the FORS standard (please see section 6 onwards). The FORS standard is based upon legal compliance, safety, efficiency and environmental protection. Fleet operators' operations are audited against the requirements of the FORS standard by an approved FORS certification body; a list of such organisations is available on the scheme administrator website (www.fors-online.org.uk).

FORS accreditation does not remove or replace any legal obligations required of persons or businesses operating vehicles.

2.1 Eligibility and scope

The FORS standards specifically address the legal requirements of operating vehicles commercially in the UK. Organisations are able to register if they operate any vehicle in the UK that is involved in the movement of materials, products, valuables, equipment, tools, waste, food, vehicles or luggage which may include one or more of the following vehicles:

- ◆ Lorries
- ◆ Vans
- ◆ Buses
- ◆ Coaches
- ◆ Fleet cars
- ◆ Motorcycles and scooters

2.2 Overview of joining FORS

There are several methods of attaining FORS accreditation and the applicability of each method to your organisation is dependent on the number of operating centres you wish to include in the scope of accreditation.

Methods of attaining FORS accreditation are:

- ◆ Single operating centre accreditation (SOCA)
- ◆ Multi-operating centre accreditation (MOCA)
- ◆ Whole fleet accreditation (WFA)

The different routes to attaining FORS accreditation are discussed in more detail in section 3.

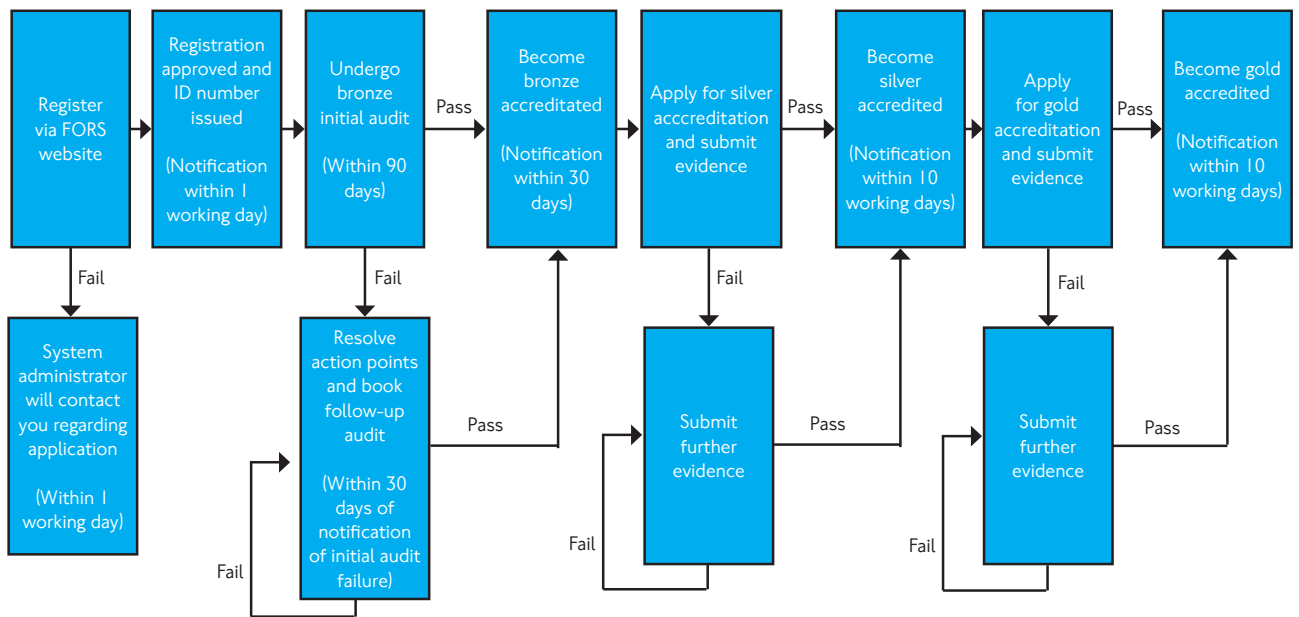
2.3 Overview of accreditation levels

There are three levels of FORS accreditation which a fleet operator can be granted. These are as follows:

- a) Bronze – a legally compliant operator that is following good practice - this is the entry level of accreditation
- b) Silver – high quality operator, committed to becoming safer, greener and more efficient – this is the intermediate level of accreditation
- c) Gold – exceptional operator that has met specific targets and is continuing to improve – this is the highest level of accreditation

Figure 2.1 shows the steps to FORS progression and attaches timescales for each process.

Figure 2.1 – The steps to FORS progression

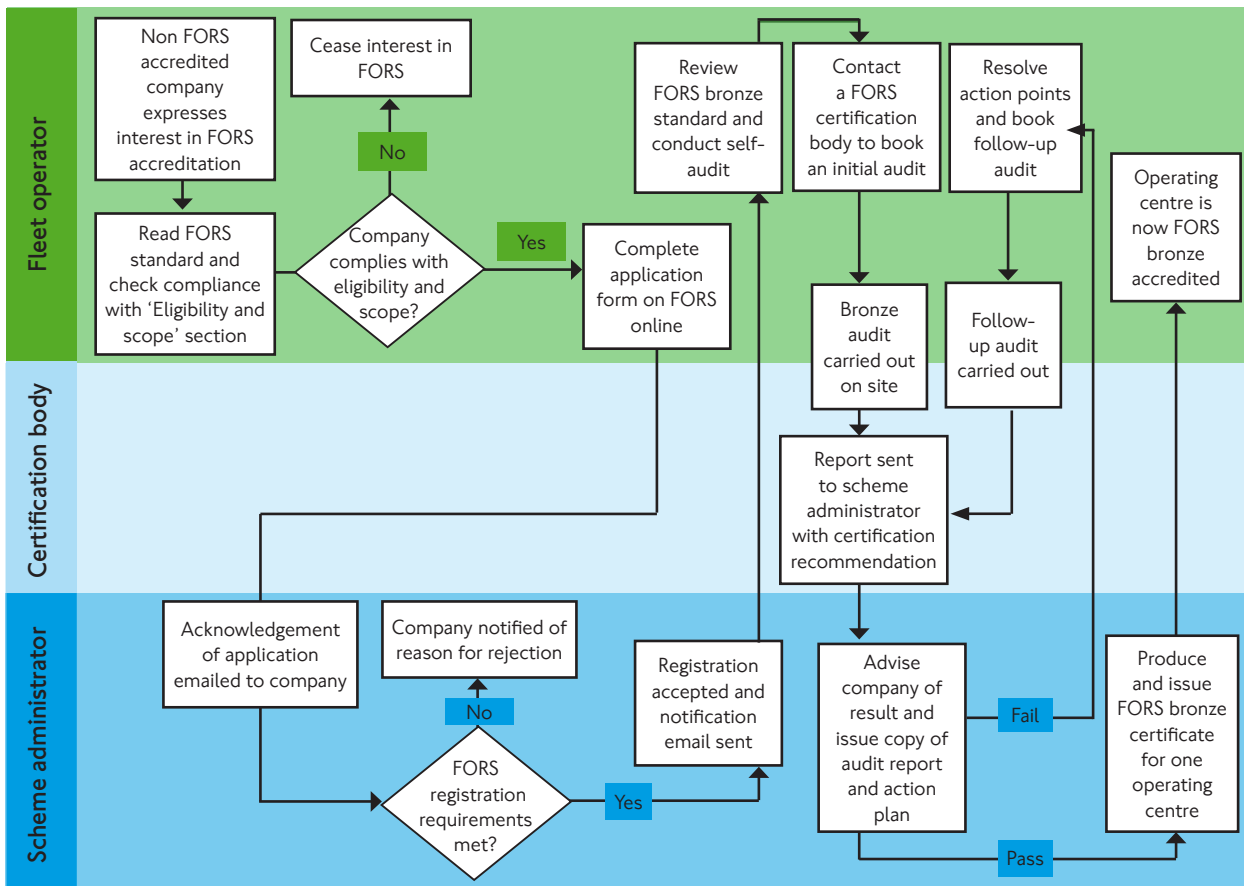


2.4 Attaining FORS bronze accreditation

The following steps indicate the basic overview of the processes a fleet operator must follow in order to obtain accreditation:

- a) Ensure that your organisation complies with the eligibility criteria set out in section 2.1
- b) Access all relevant cited documents within the FORS standards (section 6)
- c) It is recommended that organisations self-assess prior to any official audit using the forms provided in this document
- d) Obtain an audit quotation from a certification body which will involve completing an application form and sending through requested paperwork. Fleet operators are at liberty to enter into an agreement with any approved certification body. Their quotation shall include any grants available via the scheme administrator
- e) Submit to an initial audit which covers all relevant parts of the FORS standard at your operating centre(s). On the day of any audit the persons within your organisation responsible for fleet operations shall be available, as shall all relevant paperwork cited within the FORS standard. Following the audit, an audit report will be emailed with the audit result
- f) If the audit is successful, receive your certificate (all certificates are electronic) to confirm bronze accreditation dates and start using your FORS benefits
- g) If the audit is unsuccessful, resolve any action points found during the audit and book a follow-up audit in the same way as is detailed in 'point e' above. This shall be carried out within 30 calendar days of the initial audit
- h) Renew your accreditation after a set period via re-approval

Figure 2.2 – Overview of attaining FORS bronze accreditation



2.4.1 Retaining FORS accreditation

FORS accreditation is time-limited and must be renewed on an annual basis following the initial audit. Renewal is undertaken by your certification body via a re-approval audit to ensure that your systems of operation are still compliant with the FORS standard.

2.5 Audit procedures

The purpose of this section is to present in detail the audit procedures to be applied by you (as a fleet operator) and any approved certification body. This covers the three types of audit:

- ◆ Initial audit
- ◆ Re-approval audits
- ◆ Follow up audit for action point correction

2.5.1 Initial audit

Eligibility

The initial audit against the FORS standard is applicable to those operators that fall within the categories stated in section 2.1 and either:

- a) Have not previously held FORS accreditation or
- b) Whose FORS accreditation has lapsed or been removed

Application

Operators should identify a certification body via the FORS scheme administrator’s website and submit an application for accreditation. Operators may choose to use the services of a consultant to ensure systems are in place prior to making an application and during the accreditation process. Please note that the certification body cannot offer consultancy services in relation to elements of your management system related to FORS as this would cause a conflict of interest.

Application process

The certification body will review the application, send a quotation and if accepted set up the audit. The quotation will explain how long the audit will take and how much it will cost in total. As private organisations, certification bodies are not obliged to accept your application.

Allocation of auditor(s)

The audit team may be a single person or a team of people depending on your employee count, the number of each vehicle type, and the geographical location and number of operating centres.

The audit

The certification body will send the audit team to your operating centre at a mutually agreed time and date and undertake an audit of your policies and procedures using the parts of the FORS standard applicable to the types of vehicles you operate. This will include:

- a) An opening meeting with you
- b) An audit of any management system documentation relevant to your FORS standard compliant operating system (usually in your offices)
- c) An audit to confirm that your working practices comply with what is written in your management system documentation
- d) The auditor(s) writing an audit report and submitting a copy to the scheme administrator (which may be electronic) with their recommendation for accreditation. The scheme administrator will advise, by email the results of your audit attaching a copy of the audit report outlining any action points that have been found together with your bronze certificate if appropriate. The auditor will not be in a position to consult with you on the

best course of action to correct any actions (as later auditing of corrections would not be impartial)

Accreditation decision

The certification body will forward a copy of the audit report and their recommendations to the scheme administrator to make an accreditation decision. This decision will be communicated via the FORS scheme administrator and will either:

- a) Certify the fleet operator as a FORS compliant operator
- b) Request the fleet operator develops an action plan to undertake a correction of any action points agreeing action owners and target dates for completion which will be verified via a follow up audit or
- c) Not certify the operator as a FORS compliant operator, giving reasons for such a decision

Certification

Following accreditation, you will receive a certificate from the scheme administrator. All certificates are electronic. The certificate will include the FORS logo, your FORS ID number, your expiry date, and applicable scope of accreditation (location and number of operating centres).

You will be given a link to access the self-print area of FORS online where you can download an A4 FORS generic logo and/or highest accreditation level logo. The logos include your FORS ID number.

2.5.2 Re-approval

FORS bronze accreditation is time-limited and must be renewed on an annual basis for bronze operators following the initial audit. Renewal is undertaken by your certification body via a re-approval audit to ensure that your systems of operation are still compliant with the FORS standard.

Re-approval audits shall be undertaken within 30 working days of the expiry of the present certificate in order for accreditation to continue. Your current certification body will send you a reminder to book your re-approval audit.

Unaddressed action points identified in the re-approval audit

FORS is a firm advocate of continuous improvement. Therefore any unaddressed action points raised in the previous year's audit identified in the re-approval audit shall be escalated as follows:

- a) Minor action points shall be escalated to major action points, which will result in a failed audit result

2.5.3 Follow-up audit for action point correction

If the scheme administrator has determined that you need to undertake a correction of action points, you will need to contact your certification body for a follow-up audit which shall only check against those action points. Your certification body may or may not need to visit your premises for this audit and under your contract with them may require payment for such services. Following this follow-up audit, the process in section 2.4 shall apply.

Follow-up audits for newly registered operators shall be undertaken within 30 calendar days of notification of failure of the initial audit. Failure to meet these guidelines will result in another initial audit having to be conducted.

Existing FORS operators are required to undergo a follow-up audit within 30 calendar days of notification of failure of the re-approval audit. Failure to meet these guidelines will result in another initial audit having to be conducted. Please note that your organisation may still be at risk of being downgraded if your follow-up reapproval audit is not undertaken and passed prior to your expiry date - see 2.5.5 below.

2.5.4 Failure to maintain FORS bronze accreditation

Failure to maintain your FORS bronze accreditation will result in your accreditation being removed and your organisation being downgraded to registered status. Your accreditation will be downgraded the day after the date of expiry (even if an audit is booked or an audit has been failed).

Progression to bronze must be undertaken within 90 calendar days and should be done by contacting your certification body to arrange an audit.

Failure to progress to bronze within 90 calendar days will result in the organisation being downgraded to dormant. This means the organisation is no longer a FORS registered company and will not be listed on the website.

When an operator is downgraded from bronze accreditation they are no longer able to use the FORS benefits such as displaying the FORS logo on company stationery, vehicles etc. Continued use of these benefits is a breach of the terms and conditions.

2.5.5 Downgrade process

Automated weekly reminders are sent to the primary contact for a period of 60 calendar days prior to expiry. Once the bronze, silver, gold expiry date has been exceeded by a FORS organisation, they are technically no longer accredited to that level so the accreditation status will be adjusted appropriately through the downgrade process.

Any operators found to be in breach of the following will be downgraded:

- a) The present certificate has expired
- b) A re-approval audit has been failed and the follow-up audit has not been undertaken and passed prior to your expiry date

- c) An application for silver or gold has not been submitted prior to your expiry date
- d) Breaching the terms and conditions (see Annex 8)

It is essential that you disclose any changes that might affect the validity of the FORS accreditation to the scheme administrator. Changes such as a like-for-like replacement of vehicles would not require notification, nor would an increase in vehicle number equating to less than 10% of the fleet from the time of the last audit.

2.6 Changing your details

Your certification body will include in their contract with you a requirement that you shall declare any changes to your details, in particular the following:

- a) Company name
- b) Scope or scale of operation
- c) Address (including address of other operating centres under the scope of certification)
- d) Company registration number
- e) Directors
- f) Ownership

The scheme administrator will send you a copy of your details to enable you to highlight any changes. On receipt of this, the scheme administrator must assess the changes and undertake the appropriate audit activity as determined in section 2.6.1, and may also pass relevant information to the scheme administrator.

2.6.1 Consequences of change of details

The consequences detailed in table 2.1 will occur upon the listed change of details.

You should contact your certification body for instances not mentioned here.

Table 2.1 - Change of details consequences

| Type of change | Consequence |
|--|--|
| Additional operating location | Audit of new location |
| Relocation of operating location | Audit of new location |
| Fundamental change to type of operation (including vehicle type) | Audit of alterations and any affected processes |
| Change in key personnel within the operation | Re-audit, depending upon likely impact of change as determined by the certification body |
| Change in status of the operation (for example from mergers) | Possible re-audit, depending upon likely impact of change as determined by the certification body |
| An increase in vehicle fleet by 10% or more | Possible re-audit, depending upon likely impact of increase as determined by the certification body |
| Dissolution of certified company | Certification withdrawn |
| Change of company name | Re-issue of certification (with reference to former name if within that audit period) |
| Certification body aware of undeclared changes in your status | Scheme administrator to review report and either dismiss the claim, suspend or withdraw certification and request a full or partial re-audit |

2.7 Use of the FORS logo

Following accreditation under the FORS scheme you may use the FORS logo in accordance with the FORS logo usage standard, available on the scheme administrator website.

The logo may only be used on vehicles operated from, and media relating to, the operation awarded accreditation.

Full details of the logo usage standard can be downloaded from FORS online.

2.7.1 Misuse or misrepresentation of the FORS logo

Any misuse or misrepresentation of the FORS logo may be reported by any party to the scheme administrator, who will investigate such claims and take appropriate action which may include a request to remedy the misuse or misrepresentation within a defined timescale and potentially the removal of FORS accreditation (section 2.9).

2.8 Sharing of information

Some of the information you provide to your certification body and the scheme administrator is shared between them for normal day-to-day operations and to enable improvements to FORS, and some information is made public. In all cases this information will be kept in accordance with the Data Protection Act 1998 and no personal data will be collated or transmitted.

The information that can be shared between certification bodies and the scheme administrator includes:

- a) Audit reports
- b) Complaints
- c) Your operator details and scope of certification
- d) Anonymised Key Performance Indicators (KPIs)
- e) Any discovered misuse or misrepresentation of the FORS logo

The scheme administrator and your certification body may publicise basic details relating to your FORS accreditation including:

- a) Company name
- b) Operating location(s)
- c) Scope of FORS certification (ie the type of vehicles)
- d) Ending of FORS accreditation

2.9 Removal of FORS accreditation

The scheme administrator has the option of withdrawing, suspending or terminating your FORS accreditation following any breach of protocol cited within this document and/or the terms and conditions. This will require that:

- a) The scheme administrator writes to you at the address to which the accreditation applies, and your certification body, informing you of such a decision and the reasons for removal of accreditation
- b) The scheme administrator removes any listing of your accreditation and that the certification body does the same
- c) You immediately remove any FORS logo in use (on vehicles, buildings, stationery, website etc)
- d) You immediately remove any reference to FORS accreditation from your literature (including printed documents and web pages)

2.10 Dormant users

If after registering, no progress is made within 90 calendar days the operator will be downgraded to a dormant user. Dormant user means you are no longer a FORS registered operator and will no longer be listed on the website. Password rights to the website will also be removed.

2.11 Complaints

Should you consider that you have not been treated fairly either by the scheme administrator or your certification body and cannot amicably resolve the issue you may complain using the complaints and appeals processes.

In the first instance you must write to the certification body or scheme administrator using the words 'Official FORS complaint' in the letter title. They will send to you an acknowledgement and a copy of the complaints and appeals process which shall be followed to investigate your complaint.

2.12 Additional general information

Subject to any terms of contract with your certification body, you are at liberty to change to a different certification body at any time. Your new certification body will ask in your contract with them that previous audit reports and decisions may be obtained by them from your previous certification body and the scheme administrator.

All information obtained by your prior or present certification body and scheme administrator will be held in confidence and in compliance with the Data Protection Act 1998, unless permission is granted to release this information or required by law. Information will be kept by your certification body and the scheme administrator for up to six years.

In order to prevent payment being used to influence auditing and reporting, your certification body must insist that all payments be made in advance.

This document may be used by any party to audit the management system of an operating centre. However, claims of FORS certification or compliance shall only be made by those certified by an approved FORS certification body.

2.13 FORS Terms and Conditions

Full details of the FORS Terms and Conditions can be found in Annex 8 at the back of this document.

Figure 2.1 shows the steps to FORS progression and attaches timescales for each process.

3 Routes to FORS accreditation

The operator should advise the scheme administrator which type of accreditation they wish to pursue but this will ultimately be determined by the number of operating centres the operator holds.

Table 3.1 details the different methods of attaining FORS accreditation, the applicability, and the audit method that shall be applied.

3.1 Number of audits required

The number of audits required is dependent on the number of operating centres covered in the scope of accreditation. This is broken down as follows:

- ◆ 1-3 operating centres: each operating centre audited
- ◆ 4-15 operating centres: 3 audits
- ◆ 16+ operating centres: 20% of total operating centres audited

Table 3.1 – Methods of attaining FORS accreditation

| Accreditation type | Applicability | Method |
|--|--|--|
| Single operating centre accreditation (SOCA) | Operators wishing to have only one operating centre accredited or more than one operating centre accredited but who do not have the same policies and procedures throughout | One audit is required at each operating centre |
| Multi-operating centre accreditation (MOCA) | Operators with the same policies and procedures throughout | Audit requirements per operating centre(s): <ul style="list-style-type: none"> ◆ 1-3: one audit each ◆ 4-15: three audits ◆ 16+: 20 per cent sample is audited |
| Whole fleet accreditation (WFA) | National fleet operators with 16 or more operating centres seeking to gain accreditation by demonstrating widespread applicability of the FORS Standard through an established internal transport management quality audit process | An initial five stage process is conducted by a Senior Auditor: <ol style="list-style-type: none"> 1. Full FORS audit as per the SOCA/MOCA approach 2. Senior management declaration of scope and that procedures are consistent across the whole fleet 3. Completion of the Whole Fleet Accreditation application documentation 4. A review of the internal transport management quality audit 5. A witnessed transport management quality audit |

3.2 Single operating centre accreditation (SOCA)

SOCA applies to operators wishing to have only one operating centre accredited or more than one operating centre accredited but who do not have the same policies and procedures throughout. It is mainly for smaller operators but can also be applied for by larger operators that do not wish to include all of their operating centres within the scope of accreditation.

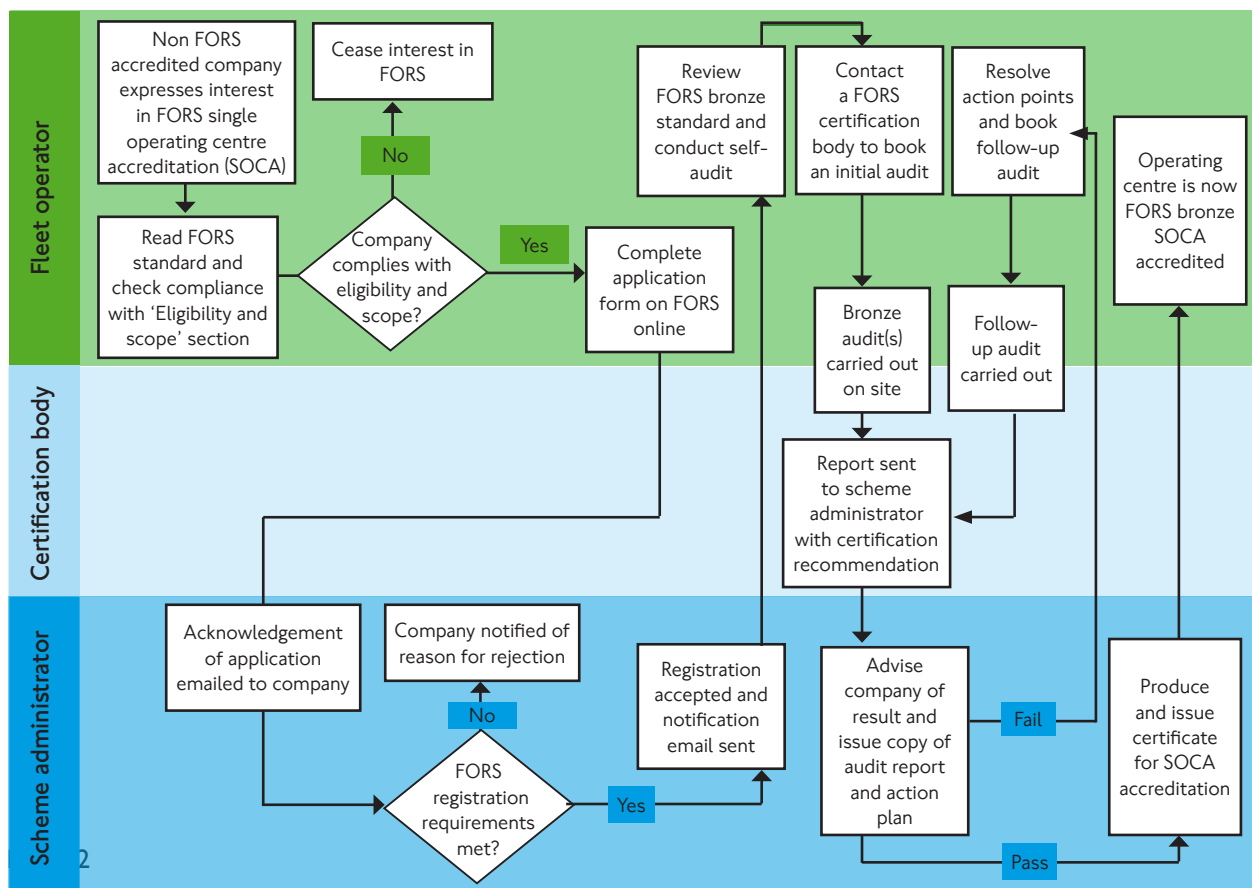
SOCA can be attained by successfully passing an audit at each operating centre included in scope. These operating centres can operate independently of one another and do not have to follow the same policies and procedures.

The operating centre where the audit is conducted will automatically be one of those covered by your bronze accreditation.

Application for this type of accreditation can be carried out by following the processes detailed in section 2.4.

The flowchart in Figure 3.1 gives an overview of the process and actions of each party

Figure 3.1 – Single-operating centre application and accreditation (SOCA) process



in the process of acquiring FORS single-operating centre accreditation' which should be read in conjunction with the FORS standard.

3.3 Multi-operating centre accreditation (MOCA)

This type of accreditation applies to operators with more than one operating centre and with the same policies and procedures throughout. MOCA is a convenient way to extend the scope of your accreditation across your entire company, division, sector or region.

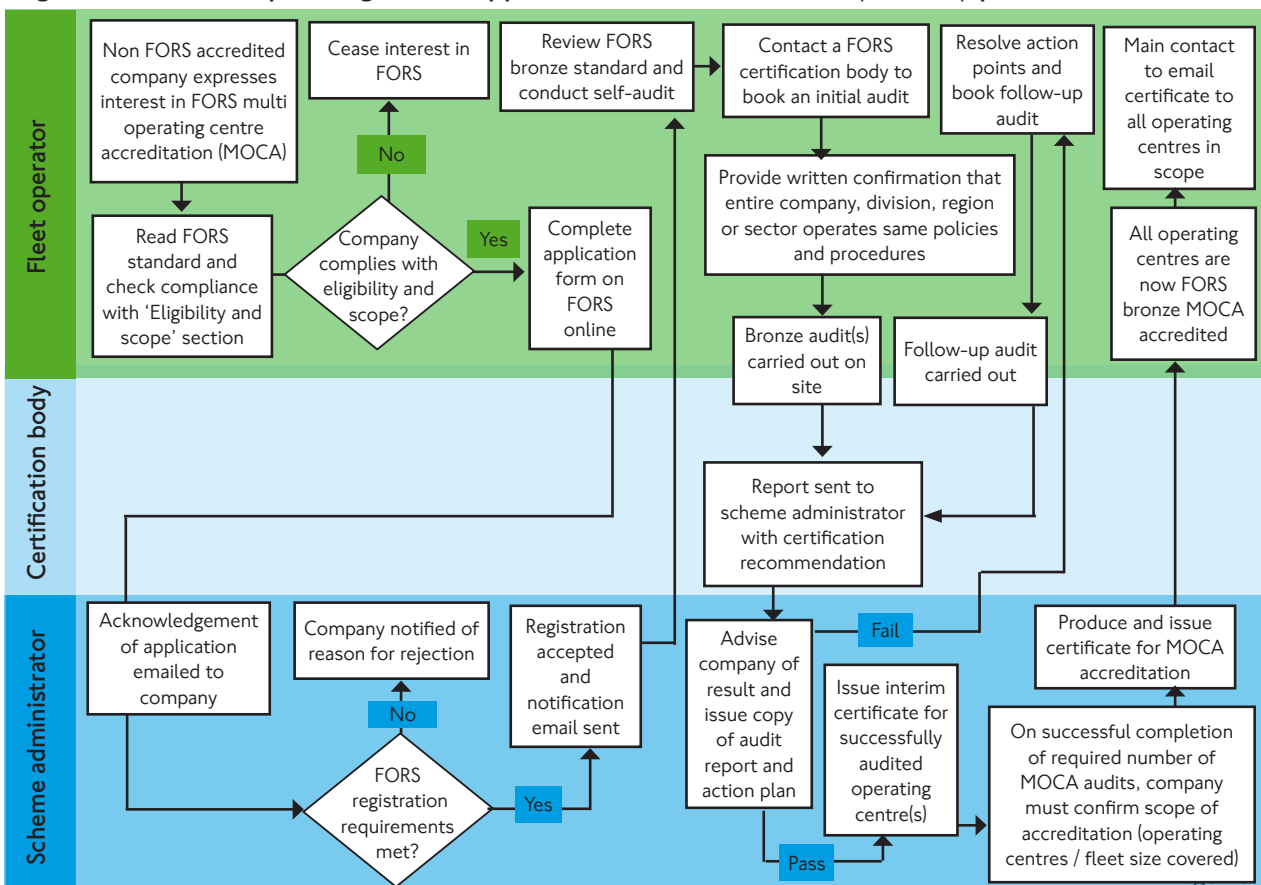
MOCA can be attained by successfully passing a number of audits at operating centres included in scope. Where 1-3 operating centres are to be included in scope, one audit will be required at each operating centre. For 4-15 operating centres, three audits will be required. For 16 or more operating centres, a 20% sample shall be audited.

Operators wishing to apply for MOCA shall take note of the following:

- a) You are only eligible for MOCA if a senior manager or director confirms in writing that the same policies and procedures are followed across all the operating centres covered in the scope of your accreditation (you will be asked to supply the post codes for operating centres to be included)
- b) Other companies within the group can be included as long as they operate the same policies and procedures and the correct number of audits have been conducted
- c) If a company's single operating centre is already bronze and they decide to go for MOCA at the time of the re-approval, then they will be requested to have the correct number of audits in line with the breakdown detailed in table 2.1
- d) An audit can be conducted at the company's Head Office if this is where all the records are held, but additional audits will need to take place at other operating centres to ensure the correct number of audits have taken place.
- e) Accreditation will be granted for each operating centre. Once all of the audits have taken place, a certificate for the whole company can be issued. Bronze accreditation expiry date will be set to the latest audit date plus one year
- f) Your accreditation may be at risk should one operating centre within the scope of accreditation breach the FORS terms and conditions. FORS retains the right to remove MOCA if deemed necessary due to the actions of any of the operating centres
- g) The bronze re-approval audits will take place at operating centres not previously audited (where possible). The same number of audits as required in year one will be required in year two (and consecutive years)

The flowchart in Figure 3.2 gives an overview of the process and actions of each party in the process of acquiring 'FORS multi-operating centre accreditation' which should be read in conjunction with the FORS standard.

Figure 3.2 – Multi-operating centre application and accreditation (MOCA) process



3.4 Whole fleet accreditation (WFA)

What is FORS whole fleet accreditation?

FORS WFA accredits companies that demonstrate that they meet the FORS standard consistently across the whole fleet through an internal transport management and audit process.

The key steps to success

There are five key steps in the process to gain WFA:

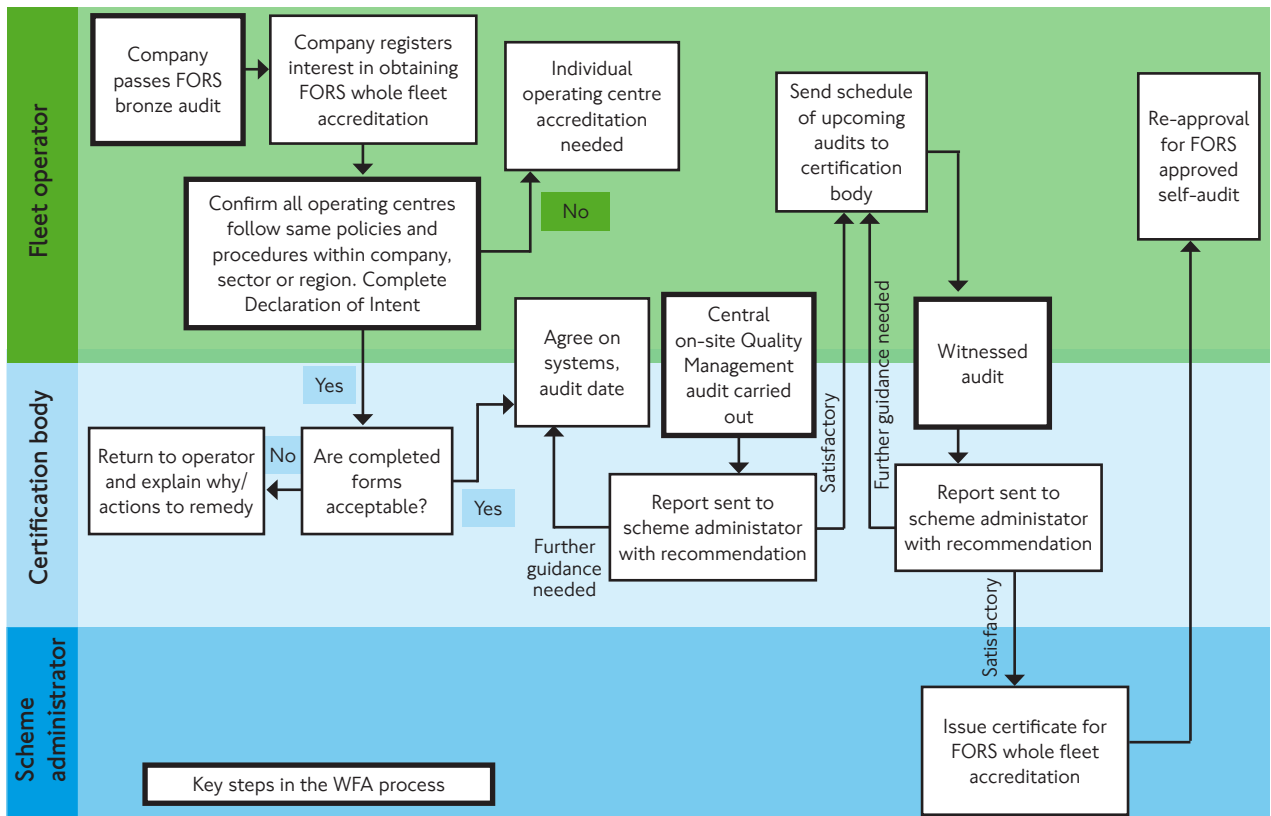
- Demonstrate that the operation meets the FORS Standard
- Confirm which divisions / sectors / regions of a company or organisation are in scope of the accreditation and complete a Declaration of Intent

- Complete the FORS Whole Fleet Accreditation documentation in Annex 3
- Validate through a quality management audit that a credible audit programme is in place and delivered uniformly across your business
- Complete a witnessed audit with a senior FORS auditor

Certification process overview

The flowchart in Figure 3.3 gives an overview of the process and actions of each party in the process of acquiring 'FORS whole fleet accreditation' which should be read in conjunction with the FORS standard.

Figure 3.3 – Whole fleet accreditation process overview



3.4.1 Attaining FORS whole fleet accreditation

Acceptance criteria

Any bronze accredited company with 16 operating centres or more, that has their own internal transport management quality audit process, can apply to the scheme administrator for FORS WFA. This will entitle the company to audit their operating centres to the FORS standard using their existing in-house auditing team.

Initial approval procedure

The following acceptance procedure will apply:

- ◆ A completed and passed FORS bronze audit
- ◆ A completed application to undertake whole fleet accreditation (Annex 3a1)
- ◆ A signed Declaration of Intent (Annex 3a2)
- ◆ A quality management audit covering the company's systems, in-house audit scope and auditors (Annex 3a3)
- ◆ A declaration of applicants auditors competence (Annex 3a4 additional information in Annex 3a5)
- ◆ A witnessed audit of the company's operating centre(s) (Annex 3a6)

FORS bronze accreditation

All applications for FORS WFA must begin with a FORS bronze audit. This is regardless of whether a company already holds a valid bronze accreditation.

Re-approval procedure

On an annual basis, or following a review of any changes to the company's auditors or quality management procedures, a re-approval audit will be carried out in accordance with the following:

- ◆ A completed and passed FORS bronze audit
- ◆ A re-approval quality management audit covering the company's systems, in-house audit scope and auditors

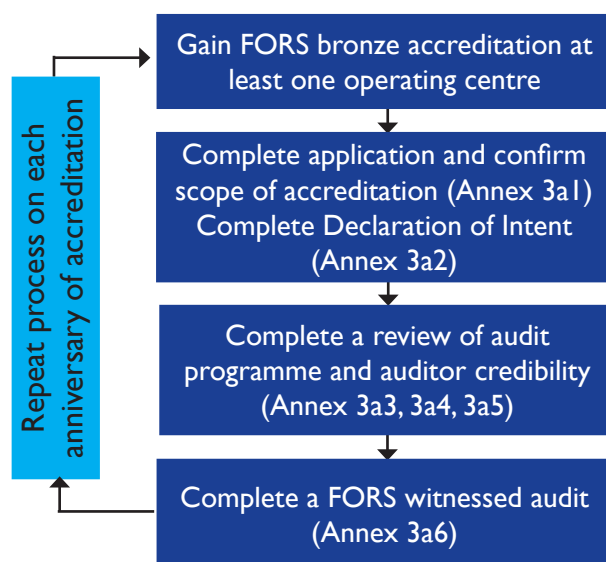
3.4.2 Whole fleet accreditation requirements

FORS WFA companies shall have a quality manual covering the requirements shown in Figure 3.4.

For the FORS approved WFA application, the documents listed in Annex 3a1, which are core to the FORS work, shall be made available. Other documentation need only be created when needed.

The process summarised in Figure 3.4 shall be used in the audit of FORS WFA companies.

Figure 3.4 Summary process for obtaining FORS whole fleet accreditation



General requirements

- a) FORS WFA companies shall operate a written management system which controls its activities, and show adequate control of its documentation related to this scheme
- b) The audit of operating centres by the FORS WFA company shall be undertaken against the requirements of the FORS standard. This standard is available on the scheme administrator's website (1.5). The audit must be carried out to the scheme rules for bronze accreditation as defined in the standard for all vehicle types listed in the standard
- c) FORS WFA companies shall demonstrate evidence of having access to all referenced documents within the FORS standard and make these available to the certification body
- d) FORS WFA companies shall be a legal company (or part thereof)
- e) FORS WFA companies shall demonstrate that they have sufficient funds to finance and insure their operation following a written risk assessment of its potential liabilities over an annual certification cycle; this risk assessment shall be evaluated at each re-approval audit
- f) The certification decision and issue of certificates is the role of the scheme administrator. The administrator will issue electronic certificates to the primary contact. It is the responsibility of the primary contact to forward certificates to individual operating centers
- g) FORS WFA companies shall pass all enquiries relating to general certification activities and requirements to the scheme administrator who is responsible for distributing this information
- h) FORS auditors will seek evidence of intent (eg procedures, company policy, charters) and evidence of execution (eg action logs, registers, schedules, plans)

Scope

Companies must confirm that they operate the same policies and procedures across all operating centres, regions or sectors within scope of the accreditation.

Prior to obtaining WFA, the company must identify the scope of the accreditation including the operating centre postcodes and fleet profile for those to be included within the accreditation and specifically identify any part of their company or group whose use of the same or similar operating name could lead to an incorrect assumption of inclusion.

Please be aware that any breaches in compliance at one operating centre may put your entire accreditation at risk.

Organisational requirements

Companies conducting FORS approved audits shall have a quality manual covering the system requirements and implementation system for audit purposes.

Companies shall operate a written management system which controls its activities, and shows adequate control of documentation. See Annex 3a3.

Companies shall demonstrate a regular audit schedule and evidence of corrective action where non-compliance is identified.

Staffing general

FORS WFA companies shall hold an up to date written organogram indicating structure, duties, responsibilities and authorities of all types of role involved in their auditing activities. This must include at least a separate quality manager and team of auditors. Senior management (those with overall responsibility for the auditing activities) personnel shall be named.

Auditor competency

Companies shall hold and document auditor competencies and ensure that existing and new auditors have the competence and skills identified in the auditor competency checklist in Annex 3a4.

Companies shall ensure that auditors' skills and knowledge are updated on a regular basis in line with:

- ◆ FORS bronze standard
- ◆ Legal compliance
- ◆ Industry standard best practice in conducting audits

FORS WFA companies shall review and record the performance of auditors and technical specialists on an annual basis, and react to any deficiencies.

FORS WFA companies shall keep up-to-date personnel records for all staff involved in certification activities.

Companies shall ensure that there is no conflict of interest eg auditors are not also operating centre managers.

Management

FORS WFA companies shall hold and document management reviews of their audit activity (which shall include complaints and appeals) and undertake any necessary rectifications to their systems of work following such a review.

The certification body will assign a senior auditor whose role will be to carry out the initial FORS bronze audit, review the completed application forms and Declaration of Intent, carry out the quality management audit and the witnessed audit.

Operational requirements

General

Companies shall hold and document reviews of the scope of their audit and ensure that it is equivalent to the requirements of the FORS bronze standard.

Companies shall base audit recommendations upon sufficient objective evidence of conformity to the FORS standard and no other factor. The scheme administrator shall issue the company's FORS bronze certificate covering all operating centres. The certificate shall be issued in electronic format only and it is the responsibility of the company to ensure that a copy of the certificate is issued to all operating centres.

The process is outlined in section 3.4.1.

Bronze accreditation

All companies applying for FORS WFA must undergo a FORS bronze audit even if already bronze accredited.

Documentation

All companies must complete the following documentation and submit for review to the certification body:

- ◆ Application to undertake FORS approved audits (Annex 3a1)
- ◆ Declaration of Intent (Annex 3a2)
- ◆ Declaration of auditor / audit system competence (Annex 3a3)

Quality management audit

The following criteria will be evaluated by a senior FORS auditor to validate suitability. This validation will only take place following submitting an application for WFA.

i. Scope of applications

- a. Which operating centres are to be included within scope. This is intended to identify if the whole group (UK only) is included or certain subsections based

on sectors, regions, client cluster or other sub divisions within the company

- b. Which parts of the company (if any) would sit outside of this scope

ii. Audit team and resourcing

- a. Identify a senior manager responsible for QA standards at all the sites and for all vehicles within scope. The senior auditor will be looking for a Director, Head of or Senior Manager who has responsibility for QA across the whole of the company identified as within scope. This person would be expected to sign the Declaration of Intent
- b. Identify how many auditors would be engaged within FORS auditing. This is necessary to establish whether there is capacity to complete the number and quality of audits deemed acceptable
- c. Confirm that the auditors meet the FORS auditor specification (Annex 3a5). This is the auditor specification currently used to define the suitability of a FORS auditor
- d. If the company uses internal auditors, identify how are they seen to be impartial from the rest of the business? This is to ensure that operating centres / sectors have impartial audits and are not self policing

iii. Audit requirement

- a. Identify the standard the company has applied in drawing up their quality system. Examples would be ISO9001, UKAS Quality Management or in-house
- b. Confirm that the audit programme is covered by a set of documented processes or procedures and that there is evidence of a live and working system of quality and audit processes already in place
- c. Identify whether the quality system is subject to an external audit, and if so

who undertakes the audit and what reports are available

- d. Identify evidence of corrective action planning and execution. To identify evidence of where remedial action has been taken to rectify issues found during audits
- e. Confirm that the audit meets (as a minimum) all the requirements of the FORS bronze audit. Please refer to the FORS standard Annex 3a5 for the FORS bronze audit checklist
- f. Confirm the proposed audit frequency and identify evidence of an audit timetable. **Audits must be carried out at 100 per cent of operating centres within scope of accreditation on an annual basis.** Ideally evidence of completed audits to a schedule AND evidence of forward planning for future audits
- g. Confirm that the audit report meets all mandatory requirements for the FORS standard to the required level of rigor

iv. Internal audit management system

- a. Confirm that reports are saved in a secure manner and retained for six years
- b. Make a commitment to submit any audit report to the Scheme Administrator within two working days of the request being made
- c. Confirm a central audit database exists which lists all those audited, including dates, outcomes and issues raised
- d. Identify a system which monitors expiry dates and ensures audits are completed annually at each operating centre in scope of accreditation

v. Management review

- a. Identify how audit findings are reported to senior management and business planners and confirm evidence that senior managers are aware of quality issues eg minutes from board meetings
- b. Identify how often the team meets. This is to find evidence that audit findings as well as safety and environmental issues are of concern to the operator's senior management
- c. Identify the inputs to these meetings This should be agenda items such as objectives, results of audits internal and external, complaints, etc
- d. Evidencing outputs and actions to demonstrate improvements of the effectiveness of the management system, training requirements and resources

Witnessed audit

On successful completion of the quality management audit, the senior auditor will request a copy of the forthcoming audits booked and will carry out one witnessed audit for each division or sector of the company seeking accreditation.

FORS whole fleet accreditation

The company will be issued FORS approved audit certification on satisfactory completion of the witnessed audit(s). The certification body will make recommendation to the scheme administrator and the scheme administrator will issue the certificate. At the same time a certificate showing FORS bronze accreditation across all the company's operating centres will be issued electronically.

The company's bronze accreditation expiry date will be extended to match the expiry date of the FORS WFA.

Record keeping in relation to FORS approved audits

The following records shall be retained:

- ◆ Audit reports
- ◆ Action plans
- ◆ Witnessed audit report
- ◆ Documentation identifying remedial actions
- ◆ Evidence proving that remedial actions have been implemented

Companies shall retain records for a period of six years.

Operating principles

Companies shall operate in a manner which inspires confidence by operating to the following principles in all of its actions:

- ◆ Impartiality
- ◆ Competence
- ◆ Responsibility
- ◆ Openness
- ◆ Confidentiality
- ◆ Responsiveness to complaints

Companies shall not hold any information regarding their supply chain that would be in breach of the Data Protection Act 1998.

3.4.3 Disputes

Discontinuation of the Declaration of Intent

Voluntary

Companies may stop undertaking FORS approved audits at any time. The Scheme Administrator shall be notified of this in writing. Providing a valid FORS bronze accreditation is held, that shall remain valid until its expiry date.

Involuntary

The administrator may, in certain circumstances, withdraw FORS WFA status. In such cases the following procedures will be undertaken in the following order:

- ◆ The administrator will identify in writing to the company the reasons for concern
- ◆ Requirement for the company to undertake and prove corrective action
- ◆ Suspension of the rights to deliver FORS approved audits
- ◆ Involuntary discontinuation

These actions may be due to factors including, but not limited to:

- ◆ A serious complaint that cannot be resolved
- ◆ A failure to comply with the requirements of this document
- ◆ A change in legal structure or ownership that might introduce a conflict of interest not capable of being satisfactorily managed
- ◆ Any case of gross misconduct being proven against the company
- ◆ Being inactive for a period of 12 months
- ◆ Becoming financially insolvent or entering into administration
- ◆ Fail to maintain compliance with the criteria for your level of accreditation
- ◆ Commit any act or omission which may result in any harm or damage to the reputation or the operation of FORS

Corrective action

Corrective action may be considered as actions which are undertaken to correct any breakdown in the operation of the company's audit process. A failure to undertake corrective action within 20 working days (or any longer agreed timescale) will result in suspension.

Suspension

Action arising from failure to undertake the required corrective action can result in the company being suspended from undertaking FORS approved audits, until

such time as corrective action has been implemented, reviewed and approved. A failure to undertake corrective action during suspension within 20 working days (or any longer agreed timescale) will result in involuntary discontinuation.

Involuntary discontinuation

Companies which fail to undertake corrective action during suspension will have their WFA status withdrawn, upon which the company must cease referencing themselves as being FORS accredited and remove all FORS images from their vehicles, premises and paperwork. Companies will undertake no activities or actions which could lead any employees or third parties to incorrectly assume they hold FORS accreditation.

4 The steps to FORS progression

4.1 FORS silver accreditation process

4.1.1 Application

To gain silver accreditation, fleet operators shall provide evidence for every operating centre that is in scope of accreditation demonstrating that they meet the specific requirements for silver. Where multiple operating centres are in scope of the silver accreditation this may be evidenced in one upload. This must be carried out by accessing FORS online and submitting evidence via the evidencing system (please refer to section 8 of the standard for details of the silver requirements). Please note that your bronze accreditation must have at least 15 calendar days validity at the time of submitting evidence for silver approval.

4.1.2 Accreditation decision

Within 10 working days of the operators submitting evidence, FORS administrator will either:

- a) Accredit the fleet operator to FORS silver
- b) Request the fleet operator provides further evidence to meet the requirements
- c) Not accredit the operator to FORS silver, giving reasons for such a decision

4.1.3 Certification

Following accreditation, you will receive a FORS silver certificate from the scheme administrator. All certificates are electronic. The certificate will include the FORS silver logo, your FORS ID number, your expiry date, and applicable scope of operation (location and number of operating centres).

You will be given a link to access the self-print area of FORS online where you can download an A4 FORS silver logo which includes your FORS ID number.

Progression to silver is not mandatory but is recommended. FORS silver operators need only undergo the bronze re-approval audit every two years. However, silver accreditation needs to be renewed each year via the evidencing system.

Once silver accreditation has been attained your bronze accreditation will be extended by one year. A new bronze certificate will not be issued, however FORS online expiry dates will be updated.

4.1.4 Re-approval

Renewal of your silver accreditation shall take place each year by submitting a new application 30 calendar days prior to the expiry date of the present certificate in order for accreditation to continue. Your bronze accreditation must have at least 15 calendar days validity at the time of submitting evidence for silver re-approval.

4.1.5 Failure to maintain FORS silver accreditation

Failure to maintain your FORS silver accreditation will result in your organisation being downgraded to bronze. When silver accreditation is lost, the extra period of time added to your bronze accreditation when silver was gained will also be taken away.

It is therefore possible for a silver operator to be downgraded to registered if the bronze accreditation has expired as well.

Your accreditation will be downgraded the day after the date of expiry unless a silver renewal application has been received.

When an operator is downgraded back to registered status they are no longer able to use the FORS benefits such as displaying FORS status logos on company stationery, vehicles etc. Continued use of these benefits is a breach of FORS terms and conditions.

If you have bronze MOCA plus individual operating centres at silver, all silver will expire if MOCA expires.

4.2 FORS gold accreditation process

4.2.1 Application

To gain gold accreditation, fleet operators shall provide evidence for every operating centre that is in scope of accreditation demonstrating that they meet the specific requirements for gold. Where multiple operating centres are in scope of the gold accreditation this may be done as one upload. This must be carried out by accessing FORS online and submitting evidence via the evidencing system. Please refer to section 8 of the standards for details of the gold requirements.

4.2.2 Accreditation decision

Within 10 working days of the operators submitting evidence, FORS administrator will either:

- a) Accredit the fleet operator to FORS gold
- b) Request the fleet operator provides further evidence to meet the requirements
- c) Not accredit the operator to FORS gold, giving reasons for such a decision

4.2.3 Certification

Following accreditation, you will receive a FORS gold certificate from the scheme administrator. All certificates are electronic. The certificate will include the FORS gold logo, your FORS ID number, your expiry date,

and applicable scope of operation (location and number of operating centres).

You will be given a link to access the self-print area of FORS online where you can download an A4 FORS gold logo which includes your FORS ID number.

Progression to gold is not mandatory but is recommended. FORS gold operators need only undergo the bronze re-approval audit every three years. However, gold accreditation needs to be renewed each year via the evidencing system.

Once gold accreditation has been attained your bronze accreditation will be extended by a further year. A new bronze certificate will not be issued, however FORS online expiry dates will be updated.

4.2.4 Re-approval

Renewal of your gold accreditation shall take place each year by submitting a new application 30 calendar days prior to the expiry date of the present certificate in order for accreditation to continue. Your bronze accreditation must have at least 15 calendar days validity at the time of submitting evidence for gold re-approval.

4.2.5 Failure to maintain FORS gold accreditation

Failure to maintain your FORS gold accreditation will result in your organisation being downgraded.

Your company will be downgraded the day after the date of expiry unless a gold renewal application has been received.

If an operator is downgraded back to registered status they are no longer able to use the FORS benefits such as displaying FORS status logos on company stationery, vehicles etc. Continued use of these benefits is a breach of FORS terms and conditions.

If you have bronze MOCA plus individual operating centres at gold, all gold will expire if MOCA expires.

5 FORS standard

The FORS standard defines basic requirements for fleet operators to follow.

5.1 Understanding the FORS standard

There are four key areas to this standard:

- ◆ Management
- ◆ Vehicles
- ◆ Drivers
- ◆ Operations

Within each section below there are several pieces of information:

- ◆ Requirement – this is the exact requirement to be adhered to
- ◆ Purpose – reveals the purpose of the requirement
- ◆ Demonstration – indicates how the requirement should be met and demonstrated as such to the auditor, whilst not mandatory, if this is not followed an equally or more robust method of meeting the requirement may be used if agreed with the auditor

Requirements are primarily based around:

- ◆ Legal compliance
- ◆ Safety
- ◆ Efficiency
- ◆ Environmental protection

5.2 The FORS standard

The FORS standard defines basic requirements that must be met by fleet operators if they wish to become FORS bronze, silver or gold accredited. Section 2.1 (Eligibility and scope) details all of the different types of vehicles covered by the standard. However, it is important to note

that some of the requirements are only applicable to certain types of vehicle(s). This is outlined clearly against each specific requirement in this section.

5.3 Application of the standard for smaller operators

FORS classes a small operator as a company that operates five vehicles or less or has less than five employees. As companies of this size are not always legally required to have written policies and procedures in place, small operators may demonstrate verbally that they meet certain requirements of the FORS bronze standard.

Using M2 - Responsibilities and accountabilities - as an example, if there are only two employees in the company, it would not be necessary to show the links between these people in an organisation chart. Instead this may be explained verbally at the time of audit.

Where a requirement refers to something that is legally required, small operators may verbally communicate their policy on, for example, record keeping and to demonstrate that the policy is being enacted, show the auditor evidence of records that have been kept for the required period of time.

5.4 External/agency drivers and hired equipment/vehicles

All external/agency drivers and equipment under the control of the FORS operator are subject to the same requirements of the FORS standard as employee drivers and equipment for the duration of that control. This specifically includes sub-contracted and agency drivers and leased and hired vehicles, and any person that drives on company business irrespective of vehicle ownership. Within this document the term 'driver' means all persons driving motor vehicles.

5.5 General notes

Many requirements call for reviews and these should be undertaken at least every 12 months and more frequently if material changes occur with regards to working arrangements, employees, or equipment.

Useful third-party and legal information is signified by bullet respectively.

Certification bodies can use the document 'FORS requirements for certification bodies' to understand more about the application of the Fleet Operator Recognition Scheme.

6 Bronze accreditation

6.1 Management

The following requirements are mandatory.

MI FORS policies and procedures manual

Requirement

Fleet operators shall document all policies and processes covering all the mandatory requirements of the FORS standard.

Purpose

To ensure that policies and procedures in place cover all aspects of the FORS standard and are properly documented in a coherent manner and readily accessible.

Demonstration

Fleet operators shall have evidence which either contains, or makes reference to, all mandatory requirements of the FORS standard. Where policies and procedures are held within other documents or manuals, these shall be referenced, easily accessible and retrievable.

Senior managers shall review these at least annually. Evidence of this review can include a signed and dated review page.

If applicable, policies and procedures shall contain specific contractual requirements where these are in excess of the requirements set out in the FORS standard. This should include contact details of the contracting organisation, contact name and details, the vehicles and where appropriate drivers employed on these contracts, the requirements to be complied with and a statement of compliance with those requirements.

M2 Responsibilities and accountabilities

Requirement

Fleet operators shall have a description of the responsibilities and accountabilities of, and links between, senior management and daily operations personnel¹.

Purpose

To ensure that there are tangible links between senior management and daily operations so that changes to the business and information can be adequately communicated, acted on, and reviewed.

Demonstration

Fleet operators shall have documentary evidence of organisational structure and responsibilities, for example an organisational chart. This can however, be described verbally within small businesses where senior management and daily operations personnel roles are well understood by all. The chart shall show the person having continuous and effective responsibility for transport operations.

M3 Responsible person

Requirement

Fleet operators shall have a formally appointed qualified trained and experienced person responsible for running the transport operation.

Purpose

To ensure that a person with direct competence of transport operations is in daily control of activities.

¹ These may be the same person.

Demonstration

Fleet operators shall evidence the responsible person's formal appointment (through job title, letter of appointment, naming on the organisational chart), their responsibilities (through job description, duty list and procedures) and their competency (through relevant qualifications and training). Relevant qualifications and training include the Level 3 Certificate of Professional Competence for Transport Manager's (Road Haulage), Level 3 Certificate of Professional Competence for Transport Managers (Passenger Transport), CPC refresher courses and the FORS practitioner qualification.

M4 Regulatory licensing

Requirement

Fleet operators shall hold all regulatory licences necessary for their operation (where applicable).

Purpose

To ensure that all operators that require a regulatory approval to operate hold the applicable licence/approval.

Demonstration

Fleet operators shall demonstrate this by the display of appropriate licences for the type of operations, which the auditor shall use to check items such as the fleet type and size. This shall include any vehicles under the control of the operation centre (such as vehicles hired, leased, or loaned).

Operators shall demonstrate evidence of regular internal reviews of compliance to licence requirements, and that any changes have been notified to the awarding authority.

Note that licensing differences may exist in the different countries of the United Kingdom and EU.

M5 Communication

Requirement

Fleet operators shall demonstrate that company policies and procedures are communicated to all staff.

Purpose

To ensure that staff fully understand the policies and procedures.

Demonstration

Fleet operators shall include documented policies and procedures which are distributed through staff/driver handbooks. Additionally, staff training (with lists of attendees), toolbox talks, risk assessments, memos and/or policies being posted in areas where staff can view should support the handbooks. Information should be distributed to staff in a manner and form which makes it understandable to them (such as a verbal briefing, letter, toolbox talk or notice), and is readily available.

Communication shall cover new policies and procedures and updates to existing policies and procedures.

M6 Review

Requirement

Fleet operators shall have their policies and procedures for the transport operation reviewed by senior management at least every 12 months. This shall include the FORS standard requirements.

Purpose

To ensure that senior management are engaged in reviewing the operations of the company and that there is a management commitment to the upkeep of the FORS requirements and for the continual improvement of the operation.

Demonstration

Fleet operators shall have documents that form part of the FORS standard shall be reviewed annually. This includes all the FORS policy and procedures manual, risk assessments, training plans and other related documents. Dated minutes from review meetings may be used as evidence of this requirement.

M7 Change

Requirement

Fleet operators shall demonstrate that senior management reviews result in positive changes to the business and such changes themselves are reviewed.

Purpose

To ensure the continuing improvement of the business.

Demonstration

Fleet operators shall show evidence of management positively changing the business, not just running the day to day operations. This may be by indicating review recommendations that have been actioned or other evidence of strategic decision making from senior management and monitoring of actions. This may follow procedures in any existing robust quality management system.

M8 Complaints

Requirement

Fleet operators shall have a fully functioning complaints system which feeds into decision making and shall ensure that any legal and non-legal action against the company is reviewed and reacted to in order to prevent recurrence.

Purpose

To ensure that complaints from any party can be used to improve the business and should be taken seriously and can gradually increase the compliance record of operators by resolving legal issues.

Demonstration

Fleet operators shall keep a record (also see O5) of all legal action against them or their drivers together with records of their FORS policies and procedures manual reviews.

Evidence of reaction to non-legal action shall be recorded together with evidence that they have been acted upon both in the short term and the long term. A complaints system may follow procedures in any existing robust quality management system.

Examples of legal action can include:

- ◆ Roadworthiness checks undertaken by DVSA Improvement and Prohibition
- ◆ Notices issued by the Health and Safety Executive or other authority
- ◆ Traffic Commissioner or court judgements and Penalty Charge Notices and Fixed Penalty Notices issued by local authorities or their contractors

Examples of non-legal action includes complaints from members of the public, local organisations or FORS.

Please refer to FORS Terms and Conditions 3.4.3 with regards to offences which must be notified to FORS in writing as soon as practicable, and in any event within five working days.

M9 Resourcing

Requirement

Fleet operators shall ensure that sufficient qualified, trained and experienced staff are in place to run the operation.

Purpose

To ensure that competent staff are not overstretched so they do not fail in carrying out their duties safely and responsibly.

Demonstration

Fleet operators shall ensure that there is sufficient competent staff (which includes their competency) to cover daily running of the operation. The level of staff should be justified against accountabilities, responsibilities and level of workload. Role descriptions should be available for key posts.

M10 Updates

Requirement

Fleet operators shall have a process for keeping up to date with developments in the industry.

Purpose

To ensure that new impacts upon the business can be readily understood and reacted to in a timely manner.

Demonstration

Fleet operators shall demonstrate this by a method of keeping up with regulatory change and industry best practice. Such developments are a focus of fleet management policy and procedure reviews and action.

6.2 Vehicles

The following requirements are mandatory.

VI Inspection and maintenance plan

Requirement

Fleet operators shall have an equipment inspection and maintenance plan which is carried out and recorded for all vehicles and specialist equipment.

Purpose

To ensure that equipment, including vehicles, trailers and related machinery have planned and proactive maintenance systems so they operate safely, legally and efficiently.

Demonstration

Fleet operators shall have a vehicle and specialist equipment maintenance plan related to the statutory legal check requirements (such as MOT test), safety inspections, and manufacturer's maintenance plans (or any other justification) can be used to demonstrate compliance with this requirement. Specialist equipment includes speed limiters, tachographs, tanks and lifting equipment. This plan should schedule maintenance at least six months in advance, and highlight vehicles and equipment which are not serviced, inspected, or tested as per the plan.

The plan should be reviewed regularly, and always when vehicles are changed.

Where maintenance is undertaken in-house, evidence of suitable resources to undertake this shall be demonstrated. Where undertaken, externally evidence of a formal agreement for this should exist.

Operators shall keep maintenance records for at least 15 months (also see O5).

Specialist equipment can mean any equipment related to the operation of the service, which may include cranes, hoppers, fork-lifts and tail-lifts.

Specialist equipment (if a requirement of the operation) shall be inspected, calibrated, serviced and recalibrated according to legal and/or manufacturer's requirements.

V2 Daily walk around check

Requirement

Fleet operators shall ensure that vehicles are checked before each shift.

Purpose

To ensure that vehicles are inspected for safety by competent drivers and defects rectified (if necessary) by competent persons prior to usage on each shift to ensure the safety of operations.

Demonstration

Fleet operators shall demonstrate a system of daily walk around checks for each vehicle using a checklist and vehicle defect form (which should also record nil defects), and auditors may witness such inspections being undertaken by randomly selected drivers.

Immediate issues should be rectified before the vehicle is permitted to be used on the public highway, and un-roadworthy vehicles shall be removed from service. Vision related safety parts of vehicles should be cleaned as necessary.

All drivers and repairers shall be competent in undertaking these tasks.

Records shall be retained for 15 months in a legible condition for inspection by the auditors, except for nil defect reports which should be kept until the next safety inspection.

V3 Fuel and tyre usage

Requirement

Fleet operators shall record, monitor, and manage fuel and tyre usage.

Purpose

To ensure that the safety, efficiency and environmental performance of operations are monitored and managed.

Demonstration

Fleet operators shall have a robust fuel and tyre management policy and programme in place that records fuel and tyre usage by driver.

Evidence of the review of this information should be demonstrated, and actions to reduce fuel and tyre usage enacted and recorded. This may consist of a whole range of measures including; training drivers in fuel efficient driving techniques, changing vehicles used or operating practices, setting targets for various KPIs and monitoring, use of IT to minimise empty running, maximising vehicle fill, and highlighting wasted mileage.

Tyre pressures should be stated on the vehicle. A documented system for tyre disposal and recycling should be kept, which may involve disposal and recycling via an appropriate third party.

V4 Insurance

Requirement

Fleet operators shall hold a minimum of third party insurance or self-insurance for the whole fleet. Requirements for other forms of insurance including employers' liability, public liability and goods in transit insurance and any other relevant insurance specific to the actual operation shall be held where applicable.

Purpose

To ensure that all vehicles being used on the public highway are insured to at least the minimum legal requirement, and that optional insurance requirements have been considered.

Demonstration

Fleet operators shall have insurance documents covering the fleet vehicles and their uses and drivers, or evidence of self-insurance.

A review system shall also be in place for making sure the insurance is in date, and that all vehicles, drivers, and vehicle uses are covered.

Regular claims review meetings with the appropriate broker and insurer, complete with an improvement plan can demonstrate a review of insurance incidents.

Management review meeting minutes should indicate that the various types of non-obligatory insurances have been considered.

There should also be a requirement that fleet operators provide evidence of their current insurance cover and compliance with the mandatory Motor Insurance Database completion.

V5 Vehicle Excise Duty

Requirement

Fleet operators shall ensure that the appropriate Vehicle Excise Duty (VED) is paid for all applicable vehicles.

Purpose

To ensure that all vehicles being used on the public highway have paid the appropriate rate of vehicle excise duty for the duration they are used on the highway.

Demonstration

Fleet operators shall demonstrate this by providing supporting information such as a register of fleet vehicles' taxation requirements. There should also be a system of regular review to ensure ongoing payment of duty.

Statutory Off Road Notification (SORN) is required for untaxed vehicles.

Operators should not rely on letters from DVLA as a reminder to pay VED. VED expiry dates for each vehicle should be marked up on the inspection and maintenance plan (see VI) or logged in any transport management software. A person should be made responsible for the task of checking VED becoming due for renewal and ensuring that the renewal process is completed.

V6 Safe loading

Requirement

Fleet operators shall ensure that vehicles are safely loaded and that appropriate load restraints are used.

Purpose

To ensure that vehicle loads in normal and emergency situations do not cause a hazard.

Demonstration

Fleet operators shall demonstrate this by providing evidence of the risk assessment of the type of load carried by each vehicle (dimensions, weight, and movement), providing proper equipment and recorded personnel training (also see O5), and enforcing vehicle loading practices via a regularly reviewed policy so that loads can be carried safely.

A system of ascertaining and recording the dimensions and weights of laden vehicles before they use the road shall be in place where size and weight is likely to be an issue.

Drivers shall be informed if their vehicle exceeds 3m in height via cab height warning notices.

Fleet operators should have arrangements in place to make sure that the right type of vehicle is used for the load, and instructions are provided for drivers and loading staff on vehicle loading. This should include load distribution and security, and information about the location and use of weighbridges.

V7 Vulnerable road user safety

Requirement

Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight are fitted with safety equipment to help protect vulnerable road users.

This shall include:

- ◆ Prominent warning signage to the rear of the vehicle to visually warn other road users not to get too close to the vehicle
- ◆ Side-under run protection to all vehicles over 3.5 tonnes gross vehicle weight that are exempt from fitment
- ◆ Class V and class VI mirrors to be fitted to all vehicles where they can be mounted, with no part of the mirror being less than two metres from the ground

Purpose

To ensure the probability and severity of under-run collisions and close proximity incidents with vulnerable road users is minimised.

Demonstration

Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight shall display on the rear of the vehicle warning signage and markings to warn vulnerable road users not to get too close to the vehicle. Signage and markings shall warn the vulnerable road user of the potential danger, advising people to take their own appropriate action. Signage and markings shall not be

offensive and should not give instructional advice to the vulnerable road user. Warning signage shall be prominent, clean and clearly visible to the road user. Warning signage shall be A4 in size as a minimum unless this is not practicable in which case an appropriately sized warning sign may be used instead.

Fleet operators shall provide evidence that all vehicles over 3.5 tonnes gross vehicle weight are fitted with side under-run protection. Side under-run protection shall be fitted on both sides of the vehicle unless this is proved impractical or impossible. Side under-run protection can be demonstrated by the fitment of sideguards, vehicle design and/or ancillary devices (fuel tank, locker box etc) which achieve the same objective.

Fleet operators shall ensure that all forward control vehicles over 3.5 tonnes gross vehicle weight are fitted with class V and VI mirrors. Forward control vehicles are defined as having the steering wheel in the first quarter of the vehicles length (vehicle only, not vehicle and trailer) and having 50% or more of the engine located rearward of the furthest reaching part of the windscreen.

Fleet operators shall ensure all safety equipment is included within the daily walk around check. Fleet operators shall take steps to ensure that drivers recognise that use of indirect vision systems is an integral part of their job.

V8 Working at height and the prevention of falls from vehicles

Requirement

Fleet operators shall risk-assess the potential for persons to fall off vehicles and for unauthorised access to vehicles and where appropriate take mitigating action.

Purpose

To ensure the safety of persons around vehicles, which can often involve working at height. This specifically includes drivers and

those who assist them in loading activities, and passengers in passenger carrying vehicles.

Demonstration

Fleet operators shall have written risk assessments of vehicle access and falls related to the type of operation. Evidence of required action to prevent such risks (such as training) can demonstrate applicability to this requirement.

The risk assessments shall form the basis of an access to vehicles policy and safe systems of work which shall be regularly reviewed. Advice is available from the HSE for suitable, practicable, and effective measures to prevent falls likely to cause personal injury.

V9 Vehicle manoeuvring

Requirement

Fleet operators shall risk-assess, mitigate, and control where appropriate risks from vehicle manoeuvring including driving forward, reversing, towing, uncoupling, and parking.

Purpose

To ensure that there is a reduction in the potential to injure people and property through the careful control of vehicles.

Demonstration

Fleet operators shall undertake a risk assessment (in conjunction with incident and near miss and claims data) followed by a regularly reviewed documented policy on vehicle movements. This includes movements on and off site (including the street). Any collisions (minor or major) should be reacted to immediately and form part of the fleet management policies and procedures review.

Suitably effective measures to prevent these should be taken (such as the use of a banksman), and as in other health and safety related areas, the first port of call in identifying any hazards is through risk assessments.

6.3 Drivers

The following requirements are mandatory.

DI Licensing and qualifications

Requirement

Fleet operators shall ensure that licences and qualifications of all drivers (including agency drivers) are checked by a competent person prior to driving, and then at least every six months.

Purpose

To ensure that drivers are and continue to be properly licensed for vehicles they drive and qualified to operate equipment.

Demonstration

Fleet operators shall demonstrate this by keeping a log of all drivers against licence/certificate type and licence/certificate expiry, with (photocopy) records of driving licences and equipment certificates (also see O5).

Endorsements and disqualifications should also be recorded on the same matrix. Records of checking this should be available for each driver every six months by a competent person.

Driving licences can be checked free of charge at www.gov.uk/view-driving-licence

The persons undertaking the checks of licences should understand the driving requirements and how to interpret the licence (including foreign-issued licences where required).

The competent person must check the driver is entitled to drive the group(s) of vehicle for which they are employed.

Drivers must also immediately report endorsements and disqualifications (of both driving and vocational licences), which shall be recorded.

Whilst all drivers need a driving licence applicable to the type of vehicle driven by them, additionally some may require specialist licences such as ADR dangerous goods licences and certificates to operate mechanical handling equipment such as lorry-mounted cranes and tail-lifts. Many operations also require drivers to have a Driver CPC qualification. Drivers in contact with vulnerable persons may be required to hold a Criminal Records Bureau certificate.

Remember to check that drivers hold the appropriate categories for towing if required.

D2 Driving standards

Requirement

Fleet operators shall require that anyone driving on business shall drive within the Highway Code and company policy at all times and pay particular regard to vulnerable road users.

Purpose

To ensure the upkeep of general driving standards and the safety of all road users.

Demonstration

Fleet operators shall demonstrate this with a written policy on driving standards at work which has been created by competent persons. The policy shall include sharing the roads with particular emphasis on vulnerable road users. The policy shall be subject to a minuted management review to ensure emerging issues in driving standards are addressed.

The policy shall cover: driver responsibilities, safety, speed limits, vulnerable road users, actions following breakdowns and collisions, safety equipment (where applicable), mobile phones and other in-vehicle technology (satellite navigation units, mobile phone,

communication devices), drink and drugs, and fatigue.

Documentation covering these policies shall be given to drivers alongside (recorded) induction training (also see D3). This documentation should be clearly displayed in the workplace. Drivers shall be required to sign a declaration stating they have been issued with, read and understand the company policy on driving standards. Drivers shall also be re-briefed following any update, or at least annually.

D3 Staff training

Requirement

Fleet operators shall ensure that drivers and line managers undergo approved progressive training and continued professional development with particular attention to the safety of vulnerable road users.

Purpose

To ensure that all staff have the appropriate knowledge, skills and attitude to conduct their duties legally, safely and competently and drivers have an increased awareness of vulnerable road users.

Demonstration

Fleet operators shall identify training needs and a development plan for all relevant staff, not just drivers. They should be in place to ensure that sufficient numbers of staff with the required skills are available now and in the future.

The development plan should outline the type of training and when it should be received. This should be updated as and when individual roles or vehicle/equipment changes. Training content should include:

- ◆ Driving assessment prior to employment
- ◆ Induction to the company
- ◆ Induction to new contracts covering

familiarisation with new routes, vehicle types and sites

- ◆ Operational compliance and the safety of vulnerable road users
- ◆ Refresher training to ensure learning objectives and skills are fully embedded
- ◆ Remedial training to rectify any deficiencies identified through reported collisions or previous training

D4 In-vehicle technology

Requirement

Fleet operators shall not cause or permit a driver to use a mobile phone or other distracting in-vehicle technology while driving.

Purpose

To ensure that drivers are not distracted from safe driving by in-vehicle technology such as satellite navigation, mobile phones and any other in-vehicle technology.

Demonstration

Fleet operators shall provide evidence that mobile phones and any other in-vehicle technology (including hands-free equipment) are considered and managed (see D2). This may first involve a short report on the vehicle technology in place in the fleet's vehicles and its impact upon driver distraction.

Where hands-free equipment is allowed, the terms of use shall be covered by a strict policy. This may also be evidenced through a procedure, risk assessment or method statement.

D5 Health and safety

Requirement

Fleet operators shall ensure that road driving risks and workplace transport safety are controlled via a working health and safety

policy and that vehicle-specific driver health and safety advice is given to drivers.

Purpose

To ensure the health, safety and welfare of persons at work and for protecting others against risks to health and safety.

Demonstration

Fleet operators shall demonstrate this through a written health and safety policy (covering at least vehicles on the road and workplace transport safety) which has been created by competent persons with practical knowledge of the work activities. This shall be subject to review (and alteration if required) by minuted management meetings to find the causes of issues. Evidence in the management meetings of the consideration of risk and preventive measures to reduce it should be available, and the policy shall be signed by senior management. This can also include staff meetings, surveys and employee feedback systems.

There shall be a person within the company appointed to have responsibility over this policy, and have sufficient authority to exert adequate influence.

Drivers may be asked to demonstrate their knowledge of the health and safety policy. The written policy itself should be clearly displayed in the workplace, and should specifically detail what any staff member can do to report incidents, near misses, and potential future issues, along with evidence of its implementation such as training records (also see D3).

A written risk-assessment of each vehicle type health and safety issue should be provided as evidence. This may include any sort of risk which impacts upon driver occupational health including driving position, moving loads by hand or machinery, and vibration.

D6 Driver fitness and health

Requirement

Fleet operators shall ensure that driver fitness and health is managed.

Purpose

To ensure the safety of drivers and the public from occupational and lifestyle-related health issues.

Demonstration

Fleet operators shall check drivers' eyesight (such as reading a new style number plate at a distance of 20 metres) prior to starting work and at least every six months. Eyesight should be checked at an optician following an eyesight check failure, incident or near-miss.

The fleet operator will ensure that driving staff meet driver licence/medical requirements and are not impaired through drink, drugs or fatigue. A procedure shall be in place to require drivers to notify the fleet operator of any fitness issues that may affect their entitlement and ability to drive. Any suspected ailments can be referred to a trained medical professional such as the driver's own GP.

D7 Drivers' hours and working time

Requirement

Fleet operators shall have policies and procedures to manage both drivers' hours and total working time for all (where applicable).

Purpose

To ensure that drivers are sufficiently alert so that they drive in a safe manner, by complying with the Working Time Directive and Road Transport Directive.

Demonstration

Fleet operators shall provide evidence of planning shifts or general work to ensure that drivers' hours and working time regulations for applicable vehicle types are not infringed (including where drivers work for more than one employer). Operators should give due consideration to these rules when planning journeys and scheduling drivers' work. In all cases (including those drivers who do and do not require a tachograph or log book), the total time of work including driving activities shall be considered.

Operators shall also provide evidence of recording and examining driver hours (via tachographs for relevant operations, but other means for non-tachograph operations), and evidence of addressing incidents where driver hours are exceeded (also see D8).

Where relevant, analogue tachograph charts, digital printouts and log books shall be kept for at least 12 months for drivers' hours rules and for 24 months for Working Time Directive purposes, with a suitable system for keeping these records (also see O5). Operators shall demonstrate how they provide spare tachograph charts and logbooks to drivers.

D8 Monitoring driving

Requirement

Fleet operators shall record and monitor all driving infractions, and take remedial action to minimise future recurrences.

Purpose

To ensure that there are systems in place to detect and react to issues with individual drivers, for the purpose of safety.

Demonstration

Fleet operators shall provide evidence that all driving infractions (such as any incident

which does or would result in endorsable points to the driver's licence) are recorded (also see DI and O4) and reviewed in the short and long term and that action is taken against such drivers. This shall require a regularly reviewed written company policy which covers procedures for action following each event. Action may include training or disciplinary action for persistent offenders, or redeployment for those un-reactive to additional training.

Driving infractions resulting in penalty points which occur privately shall also be recorded (as an excess of points will invalidate a driving licence).

Absolute numbers and trends should be monitored at fleet management policies and procedures reviews.

6.4 Operations

The following requirements are mandatory.

O1 Routing and scheduling

Requirement

Fleet operators shall ensure that the most efficient, safe, and appropriate vehicles and routes are used and that any vehicle routes to sites or premises are adhered to unless directed otherwise.

Purpose

To ensure that there is reduction in the operational costs, environmental impact and the probability of collisions on routes to and from premises or sites.

Demonstration

Fleet operators shall include evidence of efficient vehicle routing. This should include a written policy which demonstrates that routes have been selected to minimise the potential for interaction with vulnerable road users.

The routing and scheduling shall also take into account drivers' hours regulations and other fees/tolls and constraints. This written policy should describe the type of operation and any high risks involved and choose routes which minimise this risk where possible.

Evidence should also demonstrate providing drivers with information regarding parking restrictions and charges, any methods of paying tolls and any special routing and access requirements issued by clients. Fleet operators shall properly communicate any routing and access requirements provided by clients to all drivers accessing sites.

Fleet operators should ensure that all staff, especially drivers and planning/scheduling personnel, have all the instructions required and information to hand.

Fleet operators should provide driver training, briefings or pre-programmed navigation systems to ensure the driver is aware of the specified route. Drivers should also be made aware of the possible consequences of route deviation. There should be clear evidence that any deviations from the route as notified by the client or the public authority are addressed with the driver. The driver may be required to sign to acknowledge the infraction.

Fleet operators may ask drivers to demonstrate that they have understood any traffic routing or site access requirements by signing for them.

Fleet operators should employ a no convoy policy unless the escorting of hazardous loads, wide loads etc make a convoy necessary.

O2 Specialist goods

Requirement

Fleet operators shall ensure that specialist goods such as waste, dangerous goods, and abnormal loads are handled and transported in compliance with the appropriate regulations.

Purpose

To ensure the safety of people and the environment from incidents involving waste, dangerous goods, and abnormal loads.

Demonstration

Fleet operators shall provide evidence of appropriate best practice, permissions and licensing for waste, dangerous goods, and abnormal loads. A list of these should be kept, with dates for renewal and review.

Drivers shall be properly qualified to carry dangerous goods and provided with the correct documentation and emergency contact details for them.

Operators of abnormal loads shall inform the appropriate authorities (such as the Highways Agency or TfL).

O3 Incidents and collisions

Requirement

Fleet operators shall ensure that incidents, traffic collisions and reported near-misses are recorded, investigated and analysed, implementing actions to address any lessons learned and identified trends. They shall also ensure that staff and vehicles are properly assessed before returning to the road.

Purpose

To ensure that operational risk is managed by ensuring the root causes of all incidents and collisions are identified to inform the fleet operator of any actions required to minimise future re-occurrence.

Demonstration

Fleet operators shall manage incidents to ensure that drivers and vehicles can get back on the road in a safe and timely manner, this could include utilising CLOCS Manager. A log of all incidents, collisions and near-misses (also see D8) shall be maintained which should include details of all evidence required to investigate the incidents. The contents of this record shall be reviewed and reacted to at procedure and policy reviews to determine root cause and contributory factors. Review frequencies should be increased if incident numbers (or their effect) is high.

An investigation procedure and supporting documentation shall be in place, this should outline the authority and competencies required by any person required to investigate incidents and collisions. A record of investigation outcomes shall be maintained, this shall include recommendations and remedial actions for both drivers and the fleet operator.

O4 Insurance claims

Requirement

Fleet operators shall ensure that insurance claims are reviewed and reacted to.

Purpose

To ensure there is a reduction incidents, claims frequency, costs to society, and insurance costs to the operator.

Demonstration

Fleet operators shall demonstrate this through records of each insurance claim (also see O5) with trend and cost analysis and reviews of this at fleet management policy and procedure reviews.

The reviews should consider:

- ◆ Risk assessments
- ◆ Management of drivers
- ◆ Post incident processes
- ◆ Driver behavioural training

O5 Record control

Requirement

Fleet operators shall ensure that all records are adequately retained and controlled, specifically including driving events.

Purpose

To ensure the proper operation of the management system, and to be able to assign fuel efficiency, driving infringements, reports of poor driving and insurance claims to individual drivers so that appropriate remedial action may be taken.

Demonstration

Fleet operators shall include a filing system which retains documents or electronic data in a retrievable and legible format that can be easily found. Where records are kept centrally, they must be accessible to satellite operating centres via an IT system ie an intranet.

This filing system shall contain at least all documents required by this FORS standard for the amount of time specified. Control of documents should be maintained to ensure that superseded copies of documents are not used, and that the version number of documents can be verified at any time.

7 Silver and gold progression

There are three levels of FORS accreditation which fleet operators can be granted.

Gold is the highest FORS award, followed by silver and then bronze. To progress an operator must meet all the requirements of lower awards. Progression to silver or gold accreditation is not mandatory but may help in complying with more rigorous procurement conditions.

Silver requirements are aimed at drastically improving the overall safety of operator's fleet vehicles which in turn ensures compliance with the Standard for construction logistics: Managing Work Related Road Risk (WRRR) and actively monitor fleet efficiency through the base lining of data.

Gold requirements primarily involve best practice measures, including operators promoting the FORS standard to their supply chain and demonstrating meaningful improvements against the baseline data gathered in FORS silver.

Variations in approach to a requirement are acceptable provided that they meet its general ethos and are agreed with the certification body.

Silver and gold FORS operators shall provide an annual submission of data to their certification body for review.

7.1 Silver progression

S1 Maintain FORS bronze

Requirement

Fleet operators shall maintain their FORS bronze accreditation. Please note that your bronze accreditation must have at least 15 calendar days validity at the time of submitting evidence for silver approval.

Purpose

To ensure the background level of quality in the work undertaken by silver level operators.

Demonstration

Fleet operators shall provide an audit date and current accreditation.

Support and guidance

The basis of silver is in maintaining the bronze standard. This may be undertaken by any FORS certification body.

S2 Driver licensing

Requirement

Fleet operators shall ensure that a verification system is in place to provide confidence that all drivers hold a valid licence for the category of vehicle they are tasked to drive.

Purpose

To ensure that all drivers employed by the company hold a valid licence and any risks presented through an accumulation of endorsements are effectively monitored and managed.

Demonstration

Fleet operators shall ensure that all driver licences and endorsements are verified through a service that directly accesses current Driver and Vehicle Licensing Agency (DVLA) data and any risks associated with endorsements or restriction codes are effectively managed.

Frequency of licence checks should be against an approved risk scale and licenses shall be checked as a minimum every six months.

Fleet operators shall have a policy in place to ensure drivers report all professional or personal driving infringements to the responsible person who runs daily transport operations.

S3 Vehicle warning equipment

Requirement

Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight are equipped with audible means to warn other road users of a vehicle's left manoeuvre.

Purpose

To ensure there is a reduction to the risk of close proximity incidents and to increase road safety.

Demonstration

Fleet operators shall ensure vehicles are fitted with equipment to audibly warn vulnerable road users when the vehicle is turning left. For left-hand drive vehicles the blind-spot is on the offside and affects the vehicle when turning right. Audible warnings should therefore warn of a vehicle's right manoeuvre. Audible warning devices should be fitted with a manual on/off switch for circumstances, such as working at night,

where it may be appropriate for the device to be deactivated.

Support and guidance

For details of procurement guidance and product discounts visit the FORS website.

S4 Blind-spot minimisation

Requirement

Fleet operators shall ensure all vehicles over 3.5 tonnes gross vehicle weight have front, side and rear blind-spots completely eliminated or minimised as far as is practical and possible through a combination of fully operational direct and indirect vision aids and driver audible alerts.

Purpose

To ensure that the visibility for drivers is improved and reduce the risk of close proximity blind-spot collisions.

Demonstration

Fleet operators shall ensure that appropriate vision aids and driver audible alerts are fitted to the front nearside of all vehicles over 3.5 tonnes gross vehicle weight. For left-hand drive vehicles, these vision aids and audible alerts shall be fitted to the front offside of all vehicles over 3.5 tonnes gross vehicle weight.

In addition, appropriate indirect vision aids shall also be fitted to the rear of all rigid vehicles over 7.5 tonnes gross vehicle weight.

All indirect vision systems and driver audible alerts shall be fully operational.

Fleet operators shall include blind spot minimisation devices within the first use checks.

Fleet operators shall take steps to ensure that drivers recognise that use of indirect vision systems is an integral part of their job.

S5 Driver training

Requirement

Fleet operators shall ensure that all drivers (including those exempt or not in scope of Driver Certificate of Professional Competence) undergo approved progressive training specifically covering the safety of vulnerable road users.

Purpose

To ensure that all drivers have the knowledge, skills and attitude required to recognise, assess, manage and reduce the risks that their vehicle poses to vulnerable road users.

Demonstration

Fleet operators shall ensure progressive training includes on cycle hazard awareness and uses an appropriate mix of theoretical, e-learning, practical and on the job training. The e-learning element shall be refreshed on an annual basis and the on-cycle hazard awareness training every three years.

Progressive training shall also include the use and limitations of supplementary vehicle safety equipment

Where applicable this training may be aligned to Driver Certificate of Professional Competence

Support and guidance

Progressive training should include on-cycle hazard awareness and use an appropriate mix of theoretical, e-learning, practical and on the job training. Training content should include but not be limited to:

- ◆ Induction to the company
- ◆ Induction to new contracts covering familiarisation with new routes, vehicle types and sites
- ◆ Refresher training to ensure knowledge and skills are fully embedded

- ◆ Remedial training to rectify any deficiencies identified through reported collisions or previous training

Where applicable this training may be aligned to Driver Certificate of Professional Competence.

S6 Transport related fines and charges

Requirement

Fleet operators shall have policy in place to investigate and analyse all transport related fines and charges and implement intervention(s) to reduce the amount received.

Purpose

To ensure operational risk exposure and associated costs are managed by ensuring the root causes of all transport related fines and charges are identified to inform the operator of any actions required to minimise future re-occurrence.

Demonstration

Fleet operators shall maintain a record of all transport related fines and charges (such as PCN, congestion charge and LEZ fines and toll charges).

Drivers shall be informed to report the details of all transport related fines and charges, this should include Penalty Charge Notices and Fixed Penalties and this shall be clearly communicated in the driver handbook.

Measures such as driver training shall be considered to reduce trends. An investigation should outline the authority and competencies required by any person required to investigate the circumstances leading to a fine or charge being raised.

A record of investigation outcomes shall be maintained, this shall include recommendations and remedial actions for both drivers and the fleet operator.

S7 Performance measurement

Requirement

Fleet operators shall baseline data and initiate active monitoring of the following performance indicators:

- ◆ Total fuel usage and by distances travelled
- ◆ Transport related CO₂ output and by distance travelled
- ◆ Total incident and collision data and costs involving personal injury, vehicle or property damage
- ◆ Total transport related fines and charges

Purpose

To ensure both the economic and environmental sustainability of the business.

Demonstration

Fleet operators shall provide a baseline data report for a 12 month period which shall cover the entire fleet registered with FORS and also the required performance indicators.

Active monitoring can be demonstrated using a range of data capture methods. This may be by utilising fleet performance tools, spreadsheets or benchmarking systems either offered commercially or promoted through FORS and other organisations. Other data monitoring tools include vehicle telematics, insurance reports and fuel card reports. The method of data capture should be agreed with your certification body. A data report template can be found in Annex 6.

Support and guidance

FORS recognises most data monitoring approaches. These can either be automated or manual dependent on suitability for the operation.

Applications for FORS silver and gold are completed through the FORS evidencing system (www.fors-online.org.uk/evidencing). On initial FORS silver applications, fleet operators shall fill in the baseline column with 12 months data for the period selected as the baseline year.

Fleet operators applying for silver re-approval have 3 options:

- ◆ Keep the baseline data the same as the initial silver application
- ◆ Update the baseline data to a new 12 month period
- ◆ Provide new 12 month data in the year 1 column which will allow performance comparison with the baseline

7.2 Gold progression

G1 Maintain FORS silver

Requirement

Fleet operators shall maintain both their FORS bronze and silver accreditation.

Purpose

To ensure that a system of progression is maintained to ensure the background level of quality in the work undertaken by gold level operators.

Demonstration

Fleet operators shall have a planned audit date and/or current accreditation of FORS bronze and a portfolio of evidence to support the maintenance of silver requirements.

Support and guidance

The basis of gold is in maintaining the bronze standards. This may be undertaken by any FORS certification body.

G2 Promoting FORS standards

Requirement

Fleet operators shall provide evidence of actively promoting the FORS standards to their supply chain.

Purpose

To ensure that standards throughout the industry are improved.

Demonstration

Fleet operators shall provide documented evidence which demonstrates how promoting FORS standards across the supply chain has been successfully actioned. The supply

chain can include the wider spectrum of related businesses including contracted fleets, vehicle leasing companies and driver agencies, and evidence can include either FORS accreditation (or associate status) or adherence to relevant FORS requirements.

Support and guidance

For details of promoting FORS standards and FORS associate status to stakeholders and throughout the supply chain, visit the FORS website.

G3 Published case study

Requirement

Fleet operators shall produce and publish a case study that describes the progression from FORS registration to the attainment of gold and demonstrates the improvements against all performance indicators.

Purpose

To ensure that standards are promoted throughout an operator's supply chain, customer base, contracted fleets, vehicle leasing, driver agencies, in the wider media and also publically available sources.

Demonstration

Fleet operators shall produce a new or updated case study annually and provide evidence of its existence, and of its distribution / advertisement to relevant parties. Typically this case study will be in electronic format and a template can be requested from FORS. The case study shall include the following:

- ◆ An introduction to your company and what you do
- ◆ How you heard about FORS and what prompted you to join
- ◆ Your experience with the initial FORS bronze audit

- ◆ What were your next steps as an accredited company ie did you make use of the benefits on offer such as performance management tool, driver CPC training, practitioner workshops etc
- ◆ What benefits / improvements have been achieved since joining FORS
- ◆ The use of figures such as performance KPI's as supporting evidence
- ◆ What becoming gold accredited means to your company
- ◆ A photograph showing company vehicles

Support and guidance

For information of case study development and to see worked examples from existing gold operators visit the FORS website.

G4 Performance measurement

Requirement

Fleet operators shall make meaningful improvements against the FORS silver baseline data in the following performance indicators:

- ◆ Total fuel usage and by distances travelled
- ◆ Transport related CO₂ output and by distance travelled
- ◆ Total incident and collision data and costs involving personal injury, vehicle or property damage
- ◆ Total transport related fines and charges

Purpose

To ensure that evidence is provided to show initiatives and interventions implemented at FORS silver are effective and are contributing to operational improvements.

Demonstration

Fleet operators shall prepare a data report for a 12 month period and must cover the entire fleet registered with FORS and also the required performance indicators. This shall demonstrate meaningful improvements against the FORS silver baseline in all areas.

The report should be supported by output reports from data monitoring and fleet performance tools, benchmarking systems, vehicle telematics and other reports either offered commercially or promoted through other organisations such as insurance claims and fuel card usage.

A data report template can be found in Annex 7.

Support and guidance

FORS recognises most data reporting approaches. These can either be automated or manual dependent on suitability for the operation.

Applications for FORS silver and gold are completed through the FORS evidencing system (www.fors-online.org.uk/evidencing).

On initial FORS gold applications, fleet operators shall fill in the year 1 column with 12 months data for the period to be compared with the baseline year set at silver.

Fleet operators applying for gold re-approval shall provide new 12 month data in the subsequent year columns which will allow performance comparison with the baseline and previous years.

G5 Staff training

Requirement

Fleet operators shall ensure that all operational staff within the organisation undergo approved progressive training and continued professional development. This shall be linked with G4 and S6 in order to determine how this training has improved operations for the better and how this training could be improved upon or changed in order to achieve the desired outcomes.

Purpose

To ensure that all staff have the knowledge, skills, and attitude required to recognise, assess and manage all transport related issues which positively contribute to the operator's FORS performance indicators. Also to promote active involvement of staff to ensure development / progression of the training undertaken in order to achieve the desired outcome.

Demonstration

Fleet operators may demonstrate this requirement via training and development records, and alterations to related FORS key performance indicators detailed in G4. Data gathered from S6 and from the engagement of all operational staff can be used to improve or develop training matrices in order to maximise staff performance. Transport managers should undertake a CPC refresher course or obtain a FORS practitioner certificate.

Support and guidance

E-learning, driver training and line management good practice workshops are available, see the FORS website for details.

Also a wide variety of organisations offer FORS recognised training.

G6 Fuel and emissions champion

Requirement

Fleet operators shall appoint individuals who are responsible for both the economic and environmental sustainability of the business.

Purpose

To ensure both the economic and environmental sustainability of the business.

Demonstration

Fleet operators can find details of the development of transport procedures and managing fuel and CO₂ visit the FORS website for the Fuel, CO₂ and emissions toolkit.

8 Acknowledgements

We would like to acknowledge the following parties in the production of this document:

- ◆ AECOM
- ◆ Automobile Association
- ◆ Association of Car Fleet Operators
- ◆ British Motorcycle Federation
- ◆ British Standards Institute
- ◆ Chartered Institute of Logistics and Transport
- ◆ Chartis Insurance
- ◆ Confederation of Passenger Transport
- ◆ Crossrail
- ◆ Driver and Vehicle Standards Agency
- ◆ Fleet Forum
- ◆ Freight Transport Association
- ◆ Health and Safety Executive
- ◆ Licensed Taxi Driver's Association
- ◆ Metropolitan Police Service
- ◆ QBE
- ◆ Transport Research Laboratory (TRL)

Annex I Glossary

| Phrase | Meaning |
|-----------------------------------|--|
| Audit services | Services in relation to the auditing of clients, including quotations, auditing, reporting, and complaint resolution. |
| Certification | The act of certifying a fleet operation as currently operating in a manner compliant with the FORS requirements. |
| Certification body | Those organisations approved by the scheme administrator to undertake audits to the FORS standard. |
| Certification scheme document | Any document which describes how the scheme is operated (ie any scheme related document which is not the FORS requirements). |
| Direct vision | Directly visible to the driver through the cab windscreen and windows |
| Fleet operator | An economic entity which operates a vehicle fleet. |
| Fleet Operator Recognition Scheme | The recognition scheme described in this document, which is a fleet operations certification scheme. |
| FORS | An acronym for 'Fleet Operator Recognition Scheme'. |
| FORS agreement | A contractual agreement between the scheme administrator and the fleet operator. |
| FORS mark | The Fleet Operator Recognition Scheme mark, as described in the 'FORS logo usage standard'. |
| FORS standard | The sections of the Fleet Operator Recognition Scheme requirements document holding the requirements to be met by certified FORS operators. |
| Indirect vision aids | Devices to observe the traffic area adjacent to the vehicle which cannot be observed by direct vision. These can be conventional mirrors, camera-monitors or other devices able to present information about the indirect field of vision to the driver. |
| Initial audit | A first audit of a fleet operator. |
| Action points | A record of an incidence of non-compliance with the FORS requirements. |
| Re-approval audit | A periodic audit of a FORS certified fleet operator or auditor. |
| Scheme administrator | The body responsible for administering FORS. |
| Follow up audit | An audit convened to observe the correction of any found action point. |
| Technical Advisory Committee | A committee of competent persons which oversee the activities of the scheme and the scheme administrator. |
| Witnessed audit | An audit which is witnessed by a representative of the scheme administrator. |

Annex 2 Useful sources of information

Below is a list of organisations (in alphabetical order) that can provide information on matters such as legislative compliance, health and safety and employment law. This list is not exhaustive and is presented in alphabetical order:

- ◆ British Vehicle Rental and Leasing Association (BVRLA)
- ◆ Chartered Institute of Logistics and Transport (CILT)
- ◆ Confederation of Passenger Transport (CPT)
- ◆ Croner Publications
- ◆ Department for Environment, Food and Rural Affairs (Defra)
- ◆ Department for Transport (DfT)
- ◆ Department for Work and Pensions (DWP)
- ◆ Driver and Vehicle Standards Agency (DVSA)
- ◆ Freight Transport Association (FTA)
- ◆ Health and Safety Executive (HSE)
- ◆ HM Revenue and Customs (HMRC)
- ◆ Road Haulage Association (RHA)
- ◆ Road Transport Media/Magazines
- ◆ Society of Motor Manufacturers & Traders

Annex 3 Whole fleet accreditation

A1 Application for whole fleet accreditation

Company details

| | |
|--|--|
| FORS ID | |
| Company name | |
| Head office / Main location name | |
| Street | |
| Town | |
| Postcode | |
| Contact name | |
| Position | |
| Contact phone | |
| Email | |
| Do you use sub-contractors / owner drivers | |
| If yes; Does your company policy state that sub contractors / owner drivers must adhere to FORS standards? | |
| Number of employees | |
| Quality management team structure | |
| List of proposed auditors | |
| List of all operating centres | |
| List of operating centres to be audited | |
| Describe the type and scope of fleet operations | |

| Category | Type | Fuel type | | | | | | | Totals | |
|------------------------|-----------------------------|-----------|--------|---------|------------------|----------|------------------------|--------|--------|-------|
| | | Diesel | Petrol | Biofuel | Gas ¹ | Electric | Fuel Cell ² | Hybrid | | Other |
| Van | Light vans < 1.8T | | | | | | | | | |
| | Medium vans 1.8T to 2.6T | | | | | | | | | |
| | Heavy vans 2.6T to 3.5T | | | | | | | | | |
| Lorry | Rigid HGV 3.5T to 7.5T | | | | | | | | | |
| | Rigid HGV 7.5T to 18T | | | | | | | | | |
| | Rigid HGV 18T to 26T | | | | | | | | | |
| | Rigid HGV 26T to 32T | | | | | | | | | |
| | Articulated < 26T | | | | | | | | | |
| | Articulated 26T to 38T | | | | | | | | | |
| | Articulated 38T to 44T | | | | | | | | | |
| | Articulated > 44T | | | | | | | | | |
| | Drawbar HGV < 26T | | | | | | | | | |
| | Drawbar HGV 26T to 38T | | | | | | | | | |
| Drawbar HGV 38T to 44T | | | | | | | | | | |
| Bus | 17 passenger seats and over | | | | | | | | | |
| Coach | 17 passenger seats and over | | | | | | | | | |
| Minibus | 9-16 passenger seats | | | | | | | | | |
| Car | up to 8 passenger seats | | | | | | | | | |
| Motorcycle | | | | | | | | | | |
| Other | List... | | | | | | | | | |
| Trailer | | | | | | | | | | |
| Total | | | | | | | | | | |

1 Fossil fuel/non fossil fuel based

2 Hydrogen

A2 Declaration of intent

Declaration of Intent

Fleet Operator Recognition Scheme and (company)

(Date)

This Declaration of Intent sets out a framework of understanding and cooperation between the Fleet Operator Recognition Scheme and (Company).

Summary

The Fleet Operator Recognition Scheme (FORS) is an accreditation scheme that aims to improve commercial fleet operations throughout the UK and beyond. FORS accredited companies have access to a range of exclusive benefits and discounts that offer real competitive advantage. Accreditation could therefore help (Company) to tender for business, save money, improve safety and reduce environmental impact.

FORS and (company) are both independent and self-regulating, and are committed to promoting and distinguishing safety, environmental awareness and efficiency in commercial transport operations. The purpose of this Declaration of Intent is to recognise the shared objectives of FORS and (company) to work together to achieve this.

The objective of this Declaration of Intent) is to:

1. Recognise (company) audit process for its own fleet
2. Demonstrate that the (company) senior management is committed to the outcomes of FORS and will deliver such objectives
3. Confirm that the (company) senior management will ensure that the companies employees are committed to delivering FORS outcomes at all times
4. Ensure that the (company) will maintain FORS standards at all times, not just for the period when the audit(s) are undertaken
5. Confirm that the (company) will undertake no action, by operation, written word or verbal utterance which may bring reputational harm to FORS or the Scheme Administrator

FORS will:

1. Award bronze status to (company) (as per FORS standards)
2. Provide the opportunity for (company) employees to access the FORS benefits
3. Advise on how a quality benchmark can be recognised through public procurement
4. Provide opportunity for the (company) to reach the higher quality standards through improved performance measures and move through the silver and gold FORS accreditation levels

(Company) will:

- 1. Register to FORS
- 2. Become FORS bronze and position the scheme to its stakeholders in the best possible way
- 3. Provide specific internal audit report(s) on request to FORS within two working days of the request
- 4. The Scheme Administrator may ask for an opinion on the development of FORS to ensure its best practice content is suitable for construction operators
- 5. The Scheme Administrator may ask for an opinion on the future of the FORS governance
- 6. Work with FORS to review and align the (company) operators code of minimum standard to the FORS standard

Signature:

.....

(company)

Name:

Position:

Date:

Signature:

.....

Fleet Operator Recognition Scheme

Name:

Postition:

Date:

A3 Declaration of auditor competence

Each auditor is required to receive scheme administrator approval prior to undertaking in-house FORS equivalent audits. Completed declarations of competency (as below) shall be forwarded to the scheme administrator for review and approval for each auditor.

Declaration

| | |
|--|--|
| Certification body | |
| Types of operation to be audited by the auditor | |
| I hereby declare that the evidence given is a correct representation of my required auditor competencies (auditor signature) | |
| Auditor name | |
| I hereby declare that the auditor meets all relevant competency requirements (company representative signature) | |
| Company representative name | |
| Date | |

Continued overleaf...

Evidence of these mandatory competency requirements shall be retained by the certification body and may be reviewed by the scheme administrator at any time.

Auditor competence requirements checklist

| Core competencies | |
|----------------------------|--|
| Qualifications | <input type="checkbox"/> Certificate of Professional Competence <input type="checkbox"/> Quality systems management and auditing |
| Personal attributes | <input type="checkbox"/> Be independent, objective and self-motivated <input type="checkbox"/> Ability to work alone or as part of a team <input type="checkbox"/> Ability to make decisions and use own initiative <input type="checkbox"/> Excellent interpersonal skills and be able to communicate with a diverse range of individuals <input type="checkbox"/> Be of good repute as defined by the Office of the Traffic Commissioner <input type="checkbox"/> Maintains a professional image at all times |
| Knowledge | <input type="checkbox"/> Fleet Operator Recognition Scheme requirements <input type="checkbox"/> Occupational road risk legislation and standards <input type="checkbox"/> The different road transport industry sectors <input type="checkbox"/> Relevant Health & Safety legislation <input type="checkbox"/> Operator licensing requirements |
| Skills | <input type="checkbox"/> Excellent interpersonal skills with the ability to work and communicate with a diverse range of professional at all levels <input type="checkbox"/> Ability to process and interpret complex information <input type="checkbox"/> Excellent oral and written communication skills including the ability to produce reports <input type="checkbox"/> Strong prioritisation skills and ability to manage own workload make decisions and use own initiative <input type="checkbox"/> Ability to identify weaknesses in systems and processes <input type="checkbox"/> Ability to maintain client confidentiality |
| Sector specific experience | <input type="checkbox"/> Practical experience of working in a transport environment <input type="checkbox"/> Experience of assessing road transport operations <input type="checkbox"/> Ability to provide direction and guidance to operators <input type="checkbox"/> Understanding of what represents industry best practice |
| General experience | <input type="checkbox"/> Experience of quality management systems and processes <input type="checkbox"/> Ability to verify the accuracy and relevance of data collected <input type="checkbox"/> Ability to accurately record and report audit activities |

Audit system competency

| | |
|---|--|
| ◆ How many qualified auditors are employed? | |
| ◆ How many operations require auditing? | |
| ◆ What is the targeted audit frequency? | |
| ◆ Do you have an annual programme of audits? | |
| ◆ Is there a credible audit process and proforma in place? | |
| ◆ Post audit process. Provide details of a process for recording and auctioning requirements following an audit | |
| ◆ Is there evidence of ongoing auditor training, audit the auditor or refresher training in place? | |
| FORS auditor comments | |

A4 Quality management audit criteria

The following criteria should be evaluated and completed by a senior FORS auditor to validate suitability for auditing. This validation should only take place following a successful bronze audit for at least one of the applicant's sites.

| 1. Scope of Whole Fleet Accreditation applications | |
|--|-----------|
| <p>Which operating centres do you wish to be included within scope? This is intended to identify if the whole group (UK only) is included or certain subsections based on sectors, regions, client cluster or other sub divisions within the company</p> | Comments: |
| <p>Which parts of your business (if any) would sit outside of this scope? This is intended to identify specific exclusions</p> | Comments: |

| 2. Audit team and resourcing | | |
|--|--|-----------|
| <p>Does the company have a senior manager responsible for QA standards at all the sites and for all vehicles in the WFA scope? Looking for a director, head of department or senior manager who has responsibility for QA across the whole of the organisation identified as within scope. This person would be expected to sign the Declaration of Intent</p> | <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> | Comments: |
| <p>How many auditors would be engaged within FORS auditing? Is this sufficient to complete the number and quality of audits we are deeming acceptable to approve as a FORS WFA company</p> | Comments: | |
| <p>Do the auditors meet the FORS auditor specification (Annex 5)? Annex 5 is the auditor specification currently used to define the suitability of a FORS auditor. Qualifications are absolute requirements</p> | <p>Yes <input type="checkbox"/></p> <p>No <input type="checkbox"/></p> | |
| <p>If the company uses internal auditors how are they seen to be impartial from the rest of the business? To ensure operating centres / sectors have impartial audits and are not self policing</p> | Comments: | |

| 3. Audit requirement | | |
|--|---|-----------|
| What standard have the company applied in drawing up their quality system? Examples would be ISO9001, UKAS Quality Management or in house | Comments: | |
| Is the audit programme covered by a set of documented processes or procedures? Is there evidence of a live and working system of quality and audit processes already in place? | Yes <input type="checkbox"/> No <input type="checkbox"/> | Comments: |
| Is the quality system subject to an external audit? Who undertakes and are reports available | Yes <input type="checkbox"/> No <input type="checkbox"/> | Comments: |
| Evidence of corrective action planning and execution To identify evidence of where remedial action has been taken to rectify issues found during audits | Comments: | |
| Does the vehicle audit meet (as a minimum) all the requirements of the FORS bronze audit? To ensure the audit meets the FORS bronze standard | Yes <input type="checkbox"/> No <input type="checkbox"/> | Comments: |
| What is the proposed audit frequency? Identify evidence of an audit timetable – ideally evidence of completed audits to a schedule AND evidence of forward planning for future audits | Comments: | |
| Does the organisation use the FORS audit report? If not, does the audit report that they use cover all the mandatory requirements of the FORS standard to the required level of rigor | Yes <input type="checkbox"/> No <input type="checkbox"/> | Comments: |

| 4. Internal audit management system | | |
|--|---|-----------|
| Are the audit reports saved centrally? Evidence that the reports are saved in a secure manner and retained for six years | Yes <input type="checkbox"/> No <input type="checkbox"/> | Comments: |
| Is there an audit database? Seeking a central database which lists all those audited, including dates, outcomes and issues raised | Yes <input type="checkbox"/> No <input type="checkbox"/> | Comments: |
| How are audits planned? Evidence of a system which monitors expiry dates and ensures audits are completed annually | Comments: | |

| 5. Management review | |
|--|-----------|
| How are audit findings reported to senior management and business planners? Evidence that senior managers are aware of quality issues. eg minutes from board meetings | Comments: |
| How often does the team meet? Seeking evidence that safety and environment are issues of concern for the operator's senior management | Comments: |
| What are the inputs to the meetings? Objectives, results of audits internal and external, complaints | |
| Evidencing outputs and actions Improvements of the effectiveness of the management system, training requirements, resources | Comments: |

| 6. Overall result | |
|-------------------------------|-----------|
| Pass <input type="checkbox"/> | Comments: |
| Fail <input type="checkbox"/> | |

Name of Senior Auditor:

Date:

Signature:

.....

Senior Auditor

A5 Person specification - auditor

| Core competencies | |
|----------------------------|--|
| Personal Attributes | <ul style="list-style-type: none"> ◆ Be independent, objective and self-motivated ◆ Ability to work alone or as part of a team ◆ Ability to make decisions and use own initiative ◆ Excellent interpersonal skills, able to communicate with a diverse range of individuals ◆ Be of good repute as defined by the Office of the Traffic Commissioner ◆ Maintains a professional image at all times |
| Knowledge | <ul style="list-style-type: none"> ◆ Completed recognised auditor training ◆ Certificate of Professional Competence (National/ International) or recognised equivalent ◆ Membership of a relevant professional body ◆ Must have a full understanding of FORS, its processes and standards and how they apply to transport operations ◆ Detailed and up to date working knowledge of current and proposed transport laws, regulations and other requirements |
| Skills | <ul style="list-style-type: none"> ◆ Ability to understand and apply audit principles, procedures and techniques ◆ Excellent communication skills both verbal and written ◆ Ability to process and interpret complex information ◆ Ability to prioritise and focus on matters of significance |
| Sector specific experience | <ul style="list-style-type: none"> ◆ Practical experience of working in a transport environment ◆ Experience of assessing road transport operations ◆ Ability to provide direction and guidance to operators ◆ Understanding of what represents industry best practice |
| General experience | <ul style="list-style-type: none"> ◆ Experience of quality management systems and processes ◆ Ability to verify the accuracy and relevance of data collected ◆ Ability to accurately record and report audit activities |

| Roles and responsibilities | |
|----------------------------|--|
| Conduct | <ul style="list-style-type: none"> ◆ Conduct audits against the FORS approved audit |
| Quality | <ul style="list-style-type: none"> ◆ Be fully prepared prior to the audit, specifically date, time and venue ◆ Prior to the audit review any previous audits reports and be familiar with the contents ◆ Write up and quality check the audit |
| Communications | <ul style="list-style-type: none"> ◆ Communicate considerately and effectively with the throughout the audit process ◆ Offer guidance to operators throughout the audit process ◆ Ask open ended questions, observe what is happening, record evidence both positive and negative, check availability of the procedures and conformance of them ◆ Provide the company with information regarding compliance issues and applicable regulation changes |
| Training | <ul style="list-style-type: none"> ◆ Attend competence and FORS awareness training as directed ◆ Highlight to the Certification Body/s any individual training and development needs |

A6 Witnessed audit form

Basic details

| | |
|----------------------------------|--|
| Auditors name | |
| Date of witnessed audit | |
| Date of previous witnessed audit | |
| Auditors certification body | |
| Audited fleet company name | |
| Senior auditor name | |

Audit

| | | |
|--|-------------|----------|
| Did the auditor arrive on time? | | |
| Was the auditor’s attitude and appearance professional? | | |
| Did the auditor fully understand and clearly explain the FORS standards? | | |
| Does the auditor show in-depth industry knowledge? | | |
| Does the auditor have the knowledge to answer questions clearly and concisely? | | |
| Does the auditor business develop for their company? | | |
| Start time | Finish time | Duration |

Auditor notes/overview (audit)

| |
|---------------------------------|
| Recommendations for the auditor |
|---------------------------------|

I confirm that I witnessed this auditor undertaking an audit to the FORS standard in an impartial manner

| | |
|----------------------------|--|
| Senior auditor's name | |
| Senior auditor's signature | |
| Date | |

Post audit

| | |
|--|--|
| Date completed audit was submitted | |
| No. of working days from audit to submission | |
| Quality and consistency of report ie spelling, punctuation etc | |

| |
|-------------------------------------|
| Auditor notes/overview (post audit) |
|-------------------------------------|

| | |
|-----------------------------------|---|
| Approval decision | Approve this auditor to audit against the FORS standard |
| <i>Strike through accordingly</i> | Recommend this auditor for further training prior to approval |
| Approver's name | |
| Approver's signature | |
| Date | |

Annex 4 Audit details form

A1 Company details

The following form shall be completed by certification bodies undertaking audits and accompany relevant completed checklists in all cases.

| | |
|--|--|
| FORS ID | |
| Company name | |
| Operating centre name | |
| Street | |
| Town | |
| Postcode | |
| Contact name | |
| Position | |
| Contact phone | |
| Email | |
| Number of employees | |
| Do you use sub-contractors/ owner drivers? | |
| If yes; Does your company policy state that sub contractors/owner drivers must adhere to the FORS standards? | |
| Do you maintain records (Operator Licence, insurance, medical, safety etc) on owner drivers and sub-contractors centrally? | |
| Are you joining FORS for contractual reasons? If yes, please check the contracts you are/will be working on | <input type="checkbox"/> TfL <input type="checkbox"/> Crossrail <input type="checkbox"/> Vinci construction <input type="checkbox"/> Other local authorities <input type="checkbox"/> Mace <input type="checkbox"/> Other private contractor |

A2 Audit details

| | |
|--------------------|--|
| Certification body | |
| Lead auditor | |
| Auditor number | |
| Date(s) of audit | |
| Audit start time | |
| Audit finish time | |

A3 Audit scope

| Category | Type | Fuel type | | | | | | | Totals | |
|----------|--------------------------|-----------|--------|---------|------------------|----------|------------------------|--------|--------|-------|
| | | Diesel | Petrol | Biofuel | Gas ¹ | Electric | Fuel Cell ² | Hybrid | | Other |
| Van | Light vans < 1.8T | | | | | | | | | |
| | Medium vans 1.8T to 2.6T | | | | | | | | | |
| | Heavy vans 2.6T to 3.5T | | | | | | | | | |
| | Rigid HGV 3.5T to 7.5T | | | | | | | | | |
| | Rigid HGV 7.5T to 18T | | | | | | | | | |
| | Rigid HGV 18T to 26T | | | | | | | | | |
| | Rigid HGV 26T to 32T | | | | | | | | | |
| Lorry | Articulated < 26T | | | | | | | | | |
| | Articulated 26T to 38T | | | | | | | | | |
| | Articulated 38T to 44T | | | | | | | | | |
| | Articulated > 44T | | | | | | | | | |
| | Drawbar HGV < 26T | | | | | | | | | |
| | Drawbar HGV 26T to 38T | | | | | | | | | |
| | Drawbar HGV 38T to 44T | | | | | | | | | |
| | Bus | | | | | | | | | |
| | Coach | | | | | | | | | |
| | Minibus | | | | | | | | | |
| Car | up to 8 passenger seats | | | | | | | | | |
| | Motorcycle | | | | | | | | | |
| | Other | | | | | | | | | |
| | Trailer | | | | | | | | | |
| Total | | | | | | | | | | |

1 Fossil fuel/non fossil fuel based

2 Hydrogen

| | |
|--|--|
| Describe the type and scope of fleet operations | |
| What is the organisation's objective to attain or continue FORS accreditation? | |

A4.1 Reporting overview

Details of previous audit / action points

| | |
|---|--|
| Evidence relating to previous action point resolution | |
| Details of open action points from previous audits | |

Present audit findings

| | |
|-------------------------------|--|
| Number of major action points | |
| Number of minor action points | |
| Number of observations | |

A4.2 Auditor recommendations

| | |
|---|--------|
| Grant certification subject to any minor action point being satisfactorily addressed | Yes/No |
| Not to grant certification (usually where one or more major action points have been issued) | Yes/No |
| Auditor's name(s) | Date |

Annex 5 Action plan

| Audit details | |
|---------------|--|
| Lead auditor | |
| Date of audit | |

| Follow up audit details | |
|-------------------------|--|
| Lead auditor | |
| Date of audit | |

| Ref | Action point | Action owner | Action type | Date due | Action undertaken | Date complete | Follow up audit comments |
|-----|--|-----------------------------------|----------------------------|----------------------------|--|---------------------------|---|
| | The action identified to address any area not meeting a particular requirement | Person responsible for the action | Major Minor or Observation | Agreed date for completion | The specific actions undertaken to address the action point identified | Actual date of completion | Any comments made by the FORS assessor at the follow up audit |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

Annex 6 Audit checklists

AI Bronze checklist

‘Audit notes’ should record where evidence of meeting the requirement was found (such as a named document) and explain its level of adherence to the requirements. The ‘outcome’ shall be expressed as either a pass, major action point, minor action point, or an observation.

| Code | Requirement | Audit notes | Outcome |
|------|---|-------------|---------|
| M1 | <p>FORS policies and procedures manual</p> <p>Fleet operators shall document all policies and processes covering all the mandatory requirements of the FORS standard.</p> | | |
| M2 | <p>Responsibilities and accountabilities</p> <p>Fleet operators shall have a description of the responsibilities and accountabilities of, and links between, senior management and daily operations personnel².</p> | | |
| M3 | <p>Responsible person</p> <p>Fleet operators shall have a formally appointed qualified trained and experienced person responsible for running the transport operation.</p> | | |
| M4 | <p>Regulatory licensing</p> <p>Fleet operators shall hold all regulatory licences necessary for their operation (where applicable).</p> | | |

² These may be the same person

| Code | Requirement | Audit notes | Outcome |
|------|---|-------------|---------|
| M5 | <p>Communication</p> <p>Fleet operators shall demonstrate that company policies and procedures are communicated to all staff.</p> | | |
| M6 | <p>Review</p> <p>Fleet operators shall have their policies and procedures for the transport operation reviewed by senior management at least every 12 months. This shall include the FORS standard requirements.</p> | | |
| M7 | <p>Change</p> <p>Fleet operators shall demonstrate that senior management reviews result in positive changes to the business and such changes themselves are reviewed.</p> | | |
| M8 | <p>Complaints</p> <p>Fleet operators shall have a fully functioning complaints system which feeds into decision making and shall ensure that any legal and non-legal action against the company is reviewed and reacted to in order to prevent recurrence.</p> | | |

| Code | Requirement | Audit notes | Outcome |
|------|---|-------------|---------|
| M9 | <p>Resourcing</p> <p>Fleet operators shall ensure that sufficient qualified, trained and experienced staff are in place to run the operation.</p> | | |
| M10 | <p>Updates</p> <p>Fleet operators shall have a process for keeping up to date with developments in the industry.</p> | | |
| V1 | <p>Inspection and maintenance plan</p> <p>Fleet operators shall have an equipment inspection and maintenance plan which is carried out and recorded for all vehicles and specialist equipment.</p> | | |
| V2 | <p>Daily walk around check</p> <p>Fleet operators shall ensure that vehicles are checked before each shift.</p> | | |
| V3 | <p>Fuel and tyre usage</p> <p>Fleet operators shall record, monitor, and manage fuel and tyre usage.</p> | | |

| Code | Requirement | Audit notes | Outcome |
|------|---|-------------|---------|
| V4 | <p>Insurance</p> <p>Fleet operators shall hold a minimum of third party insurance or self-insurance for the whole fleet. Requirements for other forms of insurance including employers' liability, public liability and goods in transit insurance and any other relevant insurance specific to the actual operation shall be held where applicable.</p> | | |
| V5 | <p>Vehicle Excise Duty</p> <p>Fleet operators shall ensure that the appropriate Vehicle Excise Duty (VED) is paid for all applicable vehicles.</p> | | |
| V6 | <p>Safe loading</p> <p>Fleet operators shall ensure that vehicles are safely loaded and that appropriate load restraints are used.</p> | | |
| V7 | <p>Vulnerable road user safety</p> <p>Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight are fitted with safety equipment to help protect vulnerable road users.</p> | | |

| Code | Requirement | Audit notes | Outcome |
|------|---|-------------|---------|
| V8 | <p>Working at height and the prevention of falls from vehicles</p> <p>Fleet operators shall risk-assess the potential for persons to fall off vehicles and for unauthorised access to vehicles and where appropriate take mitigating action.</p> | | |
| V9 | <p>Vehicle manoeuvring</p> <p>Fleet operators shall risk-assess, mitigate, and control where appropriate risks from vehicle manoeuvring including driving forward, reversing, towing, uncoupling, and parking.</p> | | |
| D1 | <p>Licensing and qualifications</p> <p>Fleet operators shall ensure that the licences and qualifications of all drivers (including agency drivers) are checked by a competent person prior to driving, and then at least every six months.</p> | | |
| D2 | <p>Driving standards</p> <p>Fleet operators shall require that anyone driving on business shall drive within the Highway Code and company policy at all times and pay particular regard to vulnerable road users.</p> | | |

| Code | Requirement | Audit notes | Outcome |
|------|---|-------------|---------|
| D3 | <p>Staff training</p> <p>Fleet operators shall ensure that drivers and line managers undergo approved progressive training and continued professional development with particular attention to the safety of vulnerable road users.</p> | | |
| D4 | <p>In-vehicle technology</p> <p>Fleet operators shall not cause or permit a driver to use a mobile phone or other distractive in-vehicle technology while driving.</p> | | |
| D5 | <p>Health and safety</p> <p>Fleet operators shall ensure that road driving risks and workplace transport safety are controlled via a working health and safety policy and that vehicle-specific driver health and safety advice is given to drivers.</p> | | |
| D6 | <p>Driver fitness and health</p> <p>Fleet operators shall ensure that driver fitness and health is managed.</p> | | |
| D7 | <p>Drivers' hours and working time</p> <p>Fleet operators shall have policies and procedures to manage both drivers' hours and total working time for all (where applicable).</p> | | |

| Code | Requirement | Audit notes | Outcome |
|------|---|-------------|---------|
| D8 | <p>Monitoring driving</p> <p>Fleet operators shall record and monitor all driving infractions, and take remedial action to minimise future recurrences.</p> | | |
| O1 | <p>Routing and scheduling</p> <p>Fleet operators shall ensure that the most efficient, safe, and appropriate vehicles and routes are used and that any vehicle routes to sites or premises are adhered to unless directed otherwise.</p> | | |
| O2 | <p>Specialist goods</p> <p>Fleet operators shall ensure that specialist goods such as waste, dangerous goods, and abnormal loads are handled and transported in compliance with the appropriate regulations.</p> | | |
| O3 | <p>Incidents and collisions</p> <p>Fleet operators shall ensure that incidents, traffic collisions and reported near-misses are recorded, investigated and analysed, implementing actions to address any lessons learned and identified trends. They shall also ensure that staff and vehicles are properly assessed before returning to the road.</p> | | |
| O4 | <p>Insurance claims</p> <p>Fleet operators shall ensure that insurance claims are reviewed and reacted to.</p> | | |
| O5 | <p>Record control</p> <p>Fleet operators shall ensure that all records are</p> | | |

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|--|--|--|--|
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|--|--|--|--|

A2 Silver checklist

| Code | Requirement | Audit notes | Outcome |
|------|--|-------------|---------|
| S1 | <p>Maintain FORS bronze</p> <p>Fleet operators shall maintain their FORS bronze accreditation.</p> | | |
| S2 | <p>Driver licensing</p> <p>Fleet operators shall ensure that a verification system is in place to provide confidence that all drivers hold a valid licence for the category of vehicle they are tasked to drive.</p> | | |
| S3 | <p>Vehicle warning equipment</p> <p>Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight are equipped with audible means to warn other road users of a vehicle's left manoeuvre.</p> | | |
| S4 | <p>Blind-spot minimisation</p> <p>Fleet operators shall ensure all vehicles over 3.5 tonnes gross vehicle weight have front, side and rear blind-spots completely eliminated or minimised as far as is practical and possible through a combination of fully operational direct and indirect vision aids and driver audible alerts.</p> | | |

| Code | Requirement | Audit notes | Outcome |
|------|---|-------------|---------|
| S5 | <p>Driver training</p> <p>Fleet operators shall ensure that all drivers (including those exempt or not in scope of Driver Certificate of Professional Competence) undergo approved progressive training specifically covering the safety of vulnerable road users.</p> | | |
| S6 | <p>Transport related fines and charges</p> <p>Fleet operators shall have policy in place to investigate and analyse all transport related fines and charges and implement intervention(s) to reduce the amount received.</p> | | |
| S7 | <p>Performance measurement</p> <p>Fleet operators shall baseline data and initiate active monitoring of the following performance indicators:</p> <ul style="list-style-type: none"> ◆ Total fuel usage and by distances travelled ◆ Transport related CO₂ output and by distance travelled ◆ Total incident and collision data and costs involving personal injury, vehicle or property damage ◆ Total transport related fines and charges | | |

A3 Gold checklist

| Code | Requirement | Audit notes | Outcome |
|------|--|-------------|---------|
| G1 | <p>Maintain FORS silver</p> <p>Fleet operators shall maintain both their FORS bronze and silver accreditation.</p> | | |
| G2 | <p>Promoting FORS standards</p> <p>Fleet operators shall provide evidence of actively promoting the FORS standards to their supply chain.</p> | | |
| G3 | <p>Published case study</p> <p>Fleet operators shall produce and publish a case study that describes the progression from FORS registration to the attainment of gold and demonstrates the improvements against all performance indicators.</p> | | |

| Code | Requirement | Audit notes | Outcome |
|------|---|-------------|---------|
| G4 | <p>Performance measurement</p> <p>Fleet operators shall make meaningful improvements against the FORS silver baseline data in the following performance indicators:</p> <ul style="list-style-type: none"> ◆ Total fuel usage and by distances travelled ◆ Transport related CO₂ output and by distance travelled ◆ Total incident and collision data and costs involving personal injury, vehicle or property damage ◆ Total transport related fines and charges | | |
| G5 | <p>Staff training</p> <p>Fleet operators shall ensure that all operational staff within the organisation undergo approved progressive training and continued professional development. This shall be linked with G4 and S5 in order to determine how this training has improved operations for the better and how this training could be improved on / changed in order to achieve the desired outcomes.</p> | | |
| G6 | <p>Fuel and emissions champion</p> <p>Fleet Operators shall appoint individuals who are responsible for both the economic and environmental sustainability of the business.</p> | | |

Annex 7 FORS progression data report

The following data report template can be used to submit data relating to the required silver and gold performance indicators. Data for a 12 month period is required and must cover the entire fleet registered with FORS. Additional data can be submitted where

these support evidence of efficiency and performance monitoring and might include for example, vehicle fill, empty running, fuel used per tonne delivered, volumes carried drops per trip.

| | Baseline year | Baseline year plus 1 | Baseline year plus 2 | Baseline year plus 3 |
|------|---------------|----------------------|----------------------|----------------------|
| From | | | | |
| To | | | | |

| Performance indicator | | Unit of measurement | <input checked="" type="checkbox"/> | Data | Data | Data | Data |
|---|---|---------------------|-------------------------------------|------|------|------|------|
| Distance travelled | Total distance recorded across the fleet | Km | <input type="checkbox"/> | | | | |
| | | Miles | <input type="checkbox"/> | | | | |
| Fuel used* | Total fuel recorded across the fleet | Litres | <input type="checkbox"/> | | | | |
| | | Gallons | <input type="checkbox"/> | | | | |
| CO ₂ output** | 1 litre diesel = 0.002648 Tonnes of CO ₂ | Tonnes | | | | | |
| Traffic incidents and collisions | Damage only | Number of | | | | | |
| | Slight injury | | | | | | |
| | Serious injury | | | | | | |
| | Fatal | | | | | | |
| Cost of incidents and collisions | Third party costs | £ | <input type="checkbox"/> | | | | |
| | | Euro | <input type="checkbox"/> | | | | |
| | Own damage costs | £ | <input type="checkbox"/> | | | | |
| | | Euro | <input type="checkbox"/> | | | | |
| Penalty Charge Notices | LLCS | Number of | | | | | |
| | Congestion Charge/LEZ | | | | | | |
| | Moving traffic offence | | | | | | |
| | Loading, unloading, parking | | | | | | |
| Additional data to support FORS progression | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

* Provide separate data for petrol and gas used by the fleet

** Defra, 2011 Guidelines to Defra / DECC's GHG Conversion Factors for Company Reporting, 2011

Annex 8 FORS terms and conditions

Version 3.2

FORS accreditation is governed by these Terms and Conditions and any person, organisation, company or business that applies for accreditation and becomes a FORS Accredited Company, is deemed to have read and accepted these Terms and Conditions.

I. Definitions and Interpretation

In these Terms and Conditions:

I.1 Unless the context indicates otherwise the following expressions will have the following meanings:

“Business Day” means any day excluding Saturdays, Sundays or public or bank holidays in England;

“Confidential Information” means all information (whether written or verbal) that, by its nature, may reasonably be regarded as confidential to you or the FORS Provider whether commercial, financial, technical or otherwise, including information which relates to your or any of the FORS Provider’s business affairs, customers, suppliers, products, software, telecommunications, networks, trade secrets, know-how or personnel;

“DVSA OCRS” means the Driver and Vehicle Standards Agency (DVSA) scoring scheme run in red, amber, green and grey showing the compliance level against DVSA standards. GREEN, for operators considered low risk, AMBER, for operators considered medium risk and RED for operators considered high risk. The threshold levels for each band can be different for the roadworthiness score and the traffic score. An operator can also have no score for either or both categories of measurement and will fall into a GREY band;

“FORS Accredited Company” means a company which has gained FORS accreditation in accordance with condition 2.5;

“FORS Benefits” means the benefits available to FORS Accredited Companies at each level of accreditation as updated from time to time;

“FORS Certification Body” means a trade body or representative organisation appointed by the FORS Provider from time to time to undertake the FORS audits;

“FORS Community Partnership” means those entities who are from time to time appointed by the FORS Provider to provide services relating to scheme governance, development and growth, training and auditing, details of whom are listed on the FORS website;

“FORS Partner” means each organisation or body that has agreed to support FORS through its procurement practices, its public policies and, where appropriate, its own fleets;

“FORS Provider” means AECOM Ltd (registered number 01846493) being the company appointed by TfL to manage and operate FORS;

“FORS Provider Marks” means any registered or unregistered trade marks, service marks, trade names, logos or brand of FORS (whether owned by the FORS Provider or the TfL Group

and whether in current or previously utilised form) and any applications for the grant of such rights;

“FORS Provider Materials” means any and all (whether in current or previously utilised form) information, documentation, drawings, works, computer software, products and materials supplied by or on behalf of the FORS Provider to you, including without limitation, any and all newsletters, presentations, websites and presentation materials;

“FORS Standard” means the document detailing the criteria a FORS Accredited Company must meet to be accredited for Bronze (entry-level), Silver or Gold level as updated from time to time and which can be viewed at www.fors-online.org.uk;

“Intellectual Property Rights” means any patent, know-how, trade mark or name, service mark, logo, design right (in each case whether registered or unregistered), copyright, rights in passing off, database rights, rights in commercial or technical information, any other rights in any invention, discovery or process and any other intellectual property rights, whether registered or unregistered and including applications for the grant of any such rights and all rights or forms of protection having equivalent or similar effect in each case in the United Kingdom and anywhere else in the world;

“Operating Centre” means the base, or location at which your vehicle(s) are normally kept;
“Road Freight” means the physical carriage of goods for commercial purpose by road using vans and trucks. This includes the provision of services and utilities and the movement of waste;

“Road Passenger Vehicle” means a vehicle designed for the carriage of passengers including buses, coaches, minibuses and fleet cars;

“TfL” means Transport for London, a statutory corporation established under the Greater London Authority Act 1999; and

“TfL Group” means TfL and all its subsidiaries (as defined in section 1159 of the Companies Act 2006) from time to time together with Cross London Rail Links Limited and reference to any “member of the TfL Group” will refer to TfL or any such subsidiary.

- 1.2 a reference to the singular includes the plural and vice versa, and a reference to any gender includes all genders;
- 1.3 headings are included in these Terms and Conditions for ease of reference only and do not affect the interpretation or construction of these Terms and Conditions;
- 1.4 any reference to “writing” or cognate expressions includes references to any communication effected by facsimile, e-mail or any comparable means;
- 1.5 the expression “person” means any individual, firm, body corporate, unincorporated association, partnership, government, state or agency of a state or joint venture;
- 1.6 the words “including”, “includes” and “included” will be construed without limitation.
- 1.7 a reference to any statute, enactment, order, regulation or other similar instrument will be construed as a reference to the statute, enactment, order, regulation or instrument as amended or re-enacted by any subsequent statute, enactment, order, regulation or instrument and will include all statutory instruments or orders made pursuant to it,

whether replaced before or after the date of these Terms and Conditions.

2. Application Process

2.1 Application Form

If you would like to apply to become a FORS Accredited Company you must first register, by completing the FORS application form. It can be accessed on-line at www.fors-online.org.uk or a hard copy can be requested via email from: enquiries@fors-online.org.uk. At registration and on each anniversary you will need to pay the relevant annual subscription fee, details of which are available on www.fors-online.org.uk.

Once you have completed and submitted the FORS application form, you will be bound by these Terms and Conditions.

2.2 Who Can Apply

Any person who operates or intends to operate, one or more commercial Road Freight vehicle(s) and/or Road Passenger Vehicle(s) is entitled to apply to become a FORS Accredited Company.

If, after registering, no progress to accreditation has been made after 90 calendar days, your registration will be downgraded to dormant user. Dormant user means you are no longer a FORS registered operator and will no longer be listed on the website. If your registration is made dormant, your annual subscription fee will not be refundable and you will need to pay the annual subscription fee again if you register to apply to become a FORS Accredited Company at a future date.

2.3 FORS Audit

Within 90 calendar days of registration you shall request a FORS audit, by email to the FORS Certification Body. The FORS audit will check and verify your operation against the FORS Standard. The audit will take the form of an on-site visit from an auditor from a FORS Certification Body.

The FORS auditor will arrange a time and date for the audit to take place and the relevant fee for the audit will be charged. You agree to comply with all reasonable requests of the FORS auditor. This will include the provision of evidence enabling the auditor to verify that you have implemented a management system, together with applicable policies, processes and procedures and undertaken risk assessments and can demonstrate that you manage risks to your operations. You will also be expected to (a) demonstrate that you have the mechanisms to monitor the following basic measures that impact your operations and (b) collect data and initiate actions to minimise the impacts of the following areas:

- + Fuel Use
- + Penalty Charge Notices
- + Vehicle Incidents
- + Other Infringements

Full details of these measures and the entry-level criteria can be found in the FORS Standard. Where you employ the same operating policies and procedures across more than one Operating Centre and this can be confirmed by senior management in writing, you should advise which type of accreditation you wish to pursue:

Single Operating Centre Accreditation (SOCA) is available to a company wishing to have a single Operating Centre accredited, or individual Operating Centres accredited where the company

has multiple Operating Centres but which do not have the same policies and procedures at each Operating Centre;

Multi-Operating Centre Accreditation (MOCA) is available to any company with multiple Operating Centres which have the same policies and procedures throughout. In order to obtain MOCA the following audits will be required on an annual basis:

- + Between one and three Operating Centres - one successful audit is required to be completed at each Operating Centre;
- + Between four and fifteen Operating Centres, three successful audits are required to be completed at different Operating Centres; and
- + More than fifteen Operating Centres, twenty per cent (rounded up to the nearest whole number), will require a successful audit.

If you are a national fleet operator with sixteen or more Operating Centres who conduct internal audits which align with the FORS standard, Whole Fleet Accreditation (WFA) can be applied for. WFA accreditation is awarded to companies who can demonstrate widespread applicability of the FORS Standard to their Operating Centres, through an established internal transport management quality audit process.

WFA requires companies to:

- a) Demonstrate the operation meets the FORS Standard;
- b) Confirm which divisions / sectors / regions are in scope of the accreditation and complete the declaration of intent set out in Appendix I of the FORS Standard
- c) Confirm that they have a credible audit programme which is in place and delivered uniformly across your business;
- d) Pass a witnessed audit with a senior FORS auditor at one Operating Centre. Whole Fleet Accreditation (WFA) can only be applied for via enquiries@fors-online.org.uk and is subject to the agreement of the FORS Certification Body.

The FORS MOCA and WFA accreditation may be at risk should one Operating Centre in scope of accreditation breach the requirements of the FORS Standard. The FORS Provider retains the right to remove MOCA and WFA if deemed necessary due to the actions of any Operating Centres.

2.4 Payments for Audits

Details of the total audit fee for the scope of accreditation whether for:

- a) SOCA, MOCA or WFA (as set out in condition 2.3); or
 - b) follow up audits (as set out in condition 2.5), or
 - c) for enhanced audits (as set out in condition 15.3),
- will be confirmed by the FORS Provider and will be paid at the time that the audits are booked, unless otherwise agreed with the FORS Provider.

2.5 Eligibility for Accreditation

The FORS Provider will reject an application to become a FORS Accredited Company for operations that fail to meet the entry-level criteria and legal compliance, good practice and health and safety standards outlined within the FORS Standard.

If the FORS Provider does not reasonably consider that your operation has met the entry-level

criteria, the FORS Provider will notify you and confirm the reasons why your operation does not meet the entry-level criteria. Additionally, the FORS Provider will provide your operation with an action plan to enable you to achieve the entry-level accreditation criteria. If you do not agree with the FORS Provider's findings, you will have 20 Business Days from the date of the FORS Provider's notice to raise your concerns in writing with the FORS Provider before the FORS Provider issues its formal decision.

2.6 Accreditation Award

If you successfully pass the audit by demonstrating that you comply with entry-level 'bronze' accreditation criteria, as set out in the FORS Standard, you will become a FORS Accredited Company.

If you do not pass the audit, you will be issued with an action plan to help you achieve the required standard. You are then required to implement the guidance in the action plan in accordance with its terms and timescales. Once you have completed the action plan requirements, a follow-up audit will take place in accordance with condition 2.3. A follow-up audit will focus on the correction of any points outlined in the action plan.

If you fail to attain the bronze entry level accreditation and no progression is made, as set out in the FORS Standard, within 90 calendar days from registering you will become a dormant user. Dormant user means you are no longer a FORS registered operator and will no longer be listed on the website. You can apply again to be registered by following the procedure set out in condition 2.1.

3. Accreditation Scheme

3.1 Accreditation Levels

There are three levels of FORS accreditation: bronze, silver and gold. All FORS Accredited Companies will join FORS at the entry-level of 'bronze' and will have the opportunity to progress to the higher 'silver' and 'gold' levels, subject to achieving the criteria for the next level of accreditation set out in the FORS Standard.

At all levels of FORS accreditation, your operation must demonstrate that it is maintaining and has maintained the required standards set out in the FORS Standard.

3.2 Progression

In order to progress to the next level of FORS accreditation, you will need to participate in performance monitoring and management to demonstrate that you fulfill the criteria for the next level of FORS accreditation. You will need to provide basic performance data about your operations to the FORS Provider for the purpose of benchmarking and will need to implement appropriate systems to capture such data to enable your progression through FORS. All data supplied to the FORS Provider for the purpose of any benchmarking will be treated in accordance with condition 8 and 9.

3.3 Accreditation Benefits

Once you become a FORS Accredited Company, you will be entitled to receive the FORS Benefits offered by the FORS Standard. Each level of FORS accreditation offers its own set of unique benefits. Certain benefits may be subject to European Union State Aid Rules and any limitations or special application of these rules will be covered within the requirements associated with those benefits

3.4 General Obligations

You shall ensure that you and your employees, at all times, act in accordance with these Terms
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and Conditions and shall:

- 3.4.1 comply with the requirements of the FORS Standard for your level of accreditation;
- 3.4.2 behave in an orderly manner and act with the utmost good faith towards the FORS Provider and the FORS Community Partnership and co-operate fully with the FORS Provider's personnel and contractors; and
- 3.4.3 not commit any act or omission, or make any statement or otherwise behave in any manner, which may result in any harm or damage to the reputation or the operation of FORS.

You will collect and maintain information regarding (a) fuel usage and mileage, (b) the number of Penalty Charge Notices and other infringements your operation has received and (c) Vehicle Incidents (insurance and accident costs).

You will notify the FORS Provider in writing as soon as reasonably practicable, and in any event within 5 Business Days, if you or your employees have been found guilty and convicted of committing an offence under the Road Traffic Act 1988, Health & Safety at Work Act 1974 or are in serious breach of the Driver Vehicle Standards Agency (DVSA) OCRS standard that impact on your Operating Licence and particularly if a PG9

Prohibition Notice has been served by the Police or DVSA. Failure to comply with this requirement may result in your FORS accredited status being suspended or terminated in accordance with conditions 14 and 15.

In the event of downgrade, suspension, withdrawal or termination you will not be entitled to the refund of any fees paid pursuant to registration, annual subscription, audits or any other FORS service.

3.5 Changes to FORS

The FORS Provider reserves the right to change FORS at any time upon written notice to you, including amendments to these Terms and Conditions, the FORS Standard and the withdrawal and/or replacement of the FORS Benefits. Where practicable, the FORS Provider will endeavour to provide you with at least 30 calendar days notice before such changes are implemented. If you are not happy with any changes to FORS, then you will be entitled to withdraw from FORS upon written notice to FORS and the provisions of condition 15 will apply.

3.6 Changes to Company Details

You are responsible for promptly informing the FORS Provider, and in any event within 5 Business Days, of any changes to the details of your operation in terms of structure, personnel, operating licence, number and size of vehicles and depots. All notifications of changes to your details should be notified by email to the address stated in condition 2.1 or such other address as may be notified to you from time to time.

4. Improper Conduct

You will not, and will ensure that your employees, agents and sub-contractors do not, give, offer, promise, or authorize, directly or indirectly, anything of value to any employee, officer or agent of the FORS Provider or any member of the FORS Community Partnership with the intention of inducing them to perform a relevant function or activity improperly or to reward that person or entity for so doing nor favour any employee, officer or agent of the FORS Provider or any member of the FORS Community Partnership with gifts or entertainment of significant cost or value nor enter into any business arrangement with employees, officers or agents of the FORS Provider or any member of the FORS Community Partnership other than as a representative of

the FORS Provider, without the FORS Provider's prior written approval.

5. Not used

6. Records, Audit and Inspection

- 6.1 You will maintain a complete and accurate set of records pertaining to all activities relating to FORS, including your application, the results of any formal company audit, information required pursuant to these Terms and Conditions, and evidence of your compliance with the FORS Standard and your obligations under these Terms and Conditions ("Records").
- 6.2 You will retain all Records during the period of your accreditation and for a period of not less than six years (or such longer period as may be required by law) following termination or withdrawal of your accreditation ("Retention Period").
- 6.3 The FORS Provider or any person nominated by the FORS Provider has the right to audit any and all Records at any time during the Retention Period on giving to you what the FORS Provider considers to be reasonable notice (whether in writing or verbally) and at any reasonable time to inspect any aspect of your compliance with these Terms and Conditions. You will give all reasonable assistance to the FORS Provider or its nominee in conducting such inspection, including making available documents for review and staff for interview.

7. Intellectual Property Rights

- 7.1 As between you and the FORS Provider, all Intellectual Property Rights in the FORS Provider Material will remain the property of the FORS Provider, or if applicable, any third party proprietor. Only when you become a FORS Accredited Company will you be permitted to copy, reproduce or distribute the FORS Provider Materials internally within your operation. No-one, including FORS Accredited Companies, is permitted to copy, reproduce or distribute the FORS Provider Materials for external use or for the benefit of any third party, including any associated company, without the prior written consent of the FORS Provider.
- 7.2 A specific 'FORS logo' has been developed to promote FORS. The FORS Provider grants to each FORS Accredited Company a non-exclusive, non-transferable, revocable licence to use the Intellectual Property Rights owned (or capable of being so licensed) by the FORS Provider in the 'FORS logo' in accordance with the branding guidelines issued from time to time solely for the purpose of indicating a FORS Accredited Company's accreditation of FORS.
- 7.3 Subject to condition 7.2, you will have no right to use any trade marks, trade names, logos or other Intellectual Property Rights of the FORS Provider, the FORS Partners or the TfL Group without the prior written consent of the FORS Provider and you will not:
 - 7.3.1 use any trade marks, trade names or logos so resembling the FORS Provider Marks as to be likely to cause confusion with the FORS Provider Marks; or
 - 7.3.2 cause or permit anything to be done which might damage or endanger the validity or distinctiveness of, or the goodwill in, the FORS Provider Marks or other Intellectual Property Rights of the FORS Provider; or
 - 7.3.3 represent, directly or indirectly, that any of your products or services have been endorsed or approved by the FORS Provider or any FORS Partner; or

- 7.3.4 use in advertising, publicity or any other communication, whether written, electronic or any other means any FORS Provider Mark or other Intellectual Property Rights of the FORS Provider or the name, brand or logo of the FORS Provider or FORS Partner, without the prior written consent of the FORS Provider.
- 7.4 You will promptly notify the FORS Provider upon becoming aware of any infringement or alleged infringement or potential infringement of the 'FORS logo'. The FORS Provider will have the exclusive right to determine whether or not any litigation will be instituted or other action taken in connection with any infringement or suspected infringement. For the avoidance of doubt you will not institute any litigation or other action relative to any such infringement or imitation. You will provide all reasonable assistance to the FORS Provider to protect the 'FORS logo' and will assist in resolving any questions concerning the 'FORS logo'.
- 7.5 You acknowledge that any breach of this condition 7 could result in the FORS Provider incurring damages and losses and you will indemnify and keep indemnified the FORS Provider for any such damages or losses arising from a breach of condition 7.
- 7.6 This condition 7 will continue to apply after termination or withdrawal of your accreditation to FORS howsoever arising and without limit in time.

8. Provision and Use of Data

- 8.1 In order to properly administer FORS and to benchmark your operation against the criteria for each level of accreditation, you will be required to share certain data (including any relevant personal data) with the FORS Provider at all levels of FORS accreditation as set out in the FORS Standard.
- 8.2 The FORS Provider is authorised to:
- 8.2.1 share your data with the FORS Community Partnership, its associated partners, DVSA, the Metropolitan Police Service, and the City of London Police solely for the purposes of delivering the FORS scheme and, on a case by case basis, the prevention and detection of crime.
- 8.2.2 utilise data provided by FORS Accredited Companies for the purposes of delivering the FORS scheme.
- 8.2.3 use your data for the purpose of benchmarking your performance against industry averages and assisting businesses procuring Road Freight services to ascertain whether a FORS Accredited Company has complied with its legal obligations and/or has taken steps to reduce any detrimental environmental and social impacts that their activities may have.
- 8.3 You and the FORS Provider:
- 8.3.1 will each take reasonable precautions (having regard to the nature of their other respective obligations under these Terms and Conditions) to preserve the integrity of any data supplied to the other pursuant to FORS;
- 8.3.2 each acknowledge the other's ownership of Intellectual Property Rights which may subsist in the other's data. You and the FORS Provider agree not to delete or remove any copyright notices contained within or relating to the other's data; and

8.3.3 will each comply with the provisions of the Data Protection Act 1998 in respect of any personal data or sensitive personal data processed in connection with FORS.

9. Confidentiality and Announcements

9.1 Each party will keep confidential any and all Confidential Information that it may acquire in relation to the other party.

9.2 Save as otherwise set out in these Terms and Conditions, neither party will use the other party's Confidential Information for any purpose other than to exercise its rights or perform its obligations under these Terms and Conditions. Each party will ensure that its officers and employees comply with the provisions of condition 9.1.

9.3 The obligations on a party set out in condition 9.1 will not apply to any

Confidential Information which:

9.3.1 either of the parties can demonstrate is in the public domain (other than as a result of a breach of this condition 9); or

9.3.2 a party is required to disclose by order of a court of competent jurisdiction but then only to the extent of such required disclosure.

9.4 The provisions of this condition 9 will survive any termination or withdrawal of your accreditation for a period of five years from such termination or withdrawal.

10. Not used

11. Liability

11.1 Subject to conditions 11.2 and 11.3, you acknowledge that the liability of the FORS Provider in connection with FORS, the FORS Benefits and these Terms and Conditions or you applying to become, or from being, a FORS Accredited Company whether in contract, tort (including negligence and/or delict), breach of statutory duty or otherwise shall not exceed an amount, in aggregate, equal to the registration fees and audit fees that are paid by you in the calendar year in which the claim arises.

11.2 You further acknowledge that the FORS Provider will not be liable to you for pure economic loss, loss of profits, loss of business, depletion of goodwill or indirect or consequential loss, howsoever caused arising out of or in connection with FORS, the FORS Benefits and these Terms and Conditions or you applying to become, or from being, a FORS Accredited Company.

11.3 Nothing in these Terms and Conditions will exclude or limit the FORS Provider's liability for personal injury or death resulting from the FORS Provider's negligence or for any matter for which it would be illegal for the FORS Provider to exclude or limit or to attempt to exclude or limit its liability for.

12. Disclaimer

12.1 Any information whether verbal or written, including information contained in newsletters, presentations or materials, provided to you in connection with FORS (including the application and audit process) is for guidance purposes only and should not be relied upon as it does not constitute formal legal or professional advice. The FORS Provider excludes to the fullest extent lawfully permitted all liability whatsoever for any

loss or damage howsoever caused arising out or in connection with the use of and/or reliance on any information given to you.

- 12.2 Any investment or expenditure that you incur in connection with FORS is undertaken entirely at your own risk and the FORS Provider will have no liability to you in respect thereof.

13. Withdrawal from FORS

- 13.1 Your FORS accreditation will be withdrawn if you fail to pass a re-approval audit after 90 calendar days from your accreditation expiry date.
- 13.2 Operators are able to voluntarily withdraw from the scheme at any time, but this must be submitted in writing to the FORS Provider.
- 13.3 If your FORS accreditation is withdrawn or you withdraw from FORS, and you wish to become a FORS Accredited Company, you must:
- 13.3.1 re-register to become a FORS registered company via www.fors-online.org.uk as set out in condition 2.1; and
- 13.3.2 pass a FORS audit as set out in condition 2.3.
- 13.4 If your FORS accreditation is withdrawn or you withdraw from FORS, you will not be entitled to the refund of any fees paid pursuant to registration, annual subscription, audits or any other FORS service.

14. Suspension and Termination

- 14.1 Upon written notice, the FORS Provider may in its sole discretion elect to, either suspend terminate or downgrade your FORS accreditation, if you:
- 14.1.1 fail to maintain compliance with the criteria for your level of accreditation in accordance with the FORS Standard; or
- 14.1.2 commit any act or omission, or make any statement or otherwise behave in any manner, which may result in any harm or damage to the reputation or the operation of FORS;
- 14.1.3 are continuously in the red category of DVSA OCRS for longer than 3 months; or
- 14.1.4 fail to inform the FORS Provider of any changes in your circumstances.
- 14.2 Upon written notice, the FORS Provider may at its discretion, terminate your FORS accreditation if you:
- 14.2.1 commit any material or persistent breach of these Terms and Conditions and in the case of such a breach that is capable of remedy fail to remedy that breach within 10 Business Days (or such other timeframe as specified in writing by the FORS Provider) from the date of written notice to you giving details of the breach and requiring it to be remedied; or
- 14.2.2 go bankrupt or insolvent or summon a meeting of your creditors, suffer a proposal for or become subject to any voluntary arrangement, have a receiver, manager or administrative receiver appointed over any of your assets, undertakings or income, have passed a

resolution for or are subject to a petition presented to any Court for your winding-up, have a provisional liquidator appointed, are unable to pay your debts within the meaning of the Insolvency Act 1986, cease or threaten to cease to trade, have an administrator appointed in respect of you or are the subject of an application for administration filed at any court, or are the subject of a notice to strike off the register at Companies House; or

14.2.3 provide false information during a FORS audit.

14.3 Without prejudice to any of the FORS Provider's other rights or remedies (whether under these Terms and Conditions or otherwise), if you are in breach of any of these Terms and Conditions, you will, if required to do so by the FORS Provider, promptly remedy the breach at your own expense to ensure compliance with these Terms and Conditions.

15. Consequences of Withdrawal, Suspension or Termination

15.1 If, the FORS Provider at its sole discretion elects to suspend or downgrade your FORS accreditation pursuant to condition 14.1 you will be informed of this in writing, along with the duration of the suspension. You will be required during the suspension period to:

15.1.1 agree an action plan, to be approved by the FORS Provider, in order to rectify the breach; and

15.1.2 cooperate with the FORS Provider at all times.

15.2 During the suspension or downgrade period, you will:

15.2.1 not be entitled to the FORS Benefits;

Rights of the FORS Provider and will promptly remove the FORS logo from any vehicle, materials, documentation or other media and will provide the FORS Provider with written confirmation that it has been so removed.

15.3 Within the suspension or downgrade period you will be required to pay for and pass an enhanced audit, which will be at your expense (as set out in condition 2.4). An enhanced audit is a FORS bronze audit plus a detailed review of the actions in place to mitigate the reasons that the suspension or downgrade was incurred.

15.4 If an action plan is not agreed within the suspension or downgrade period, or you fail to pass the enhanced audit, the FORS provider may at its sole discretion, terminate your FORS accredited status.

15.5 On the expiry of the suspension or downgrade period and the successful completion of the enhanced audit, your FORS suspension or downgrade will be lifted and your FORS accredited status will be reinstated. If you are a silver or gold FORS Accredited Company, then your accreditation date will be aligned with your previous expiry date.

15.6 Upon termination, however caused, you will be prevented from re-registering and becoming a FORS Accredited Company for 6 months from the date of termination and you will not be entitled to the refund of any fees paid pursuant to registration, annual subscription, audits or any other FORS service. If, on expiry of the 6 month period, you wish to become a FORS accredited Company, will be required to:

15.6.1 re register to become a FORS Accredited Company at www.fors-online.org.uk as set out

in condition 2.1; and

15.6.2 provide written confirmation, signed by your Managing Director, of the measures and procedures that have put in place to ensure the cause of your termination does not reoccur; and

15.6.3 pass an enhanced audit, instead of the standard FORS audit; and

15.6.4 agree an action plan, to be approved by the FORS Provider.

15.7 Upon withdrawal or suspension from FORS or termination of your FORS accredited status, howsoever arising:

15.7.1 you will no longer be entitled to, and will immediately cease to use:

(a) the FORS Benefits granted under these Terms and Conditions; and

(b) the FORS logo and any other Intellectual Property Rights of the Provider and will promptly remove the FORS logo from any vehicle and will provide written confirmation that it has been so removed;

15.7.2 you will promptly deliver up to the FORS Provider all property supplied by or on behalf of the FORS Provider and all materials incorporating any Confidential Information and/or Intellectual Property Rights of the FORS Provider or any FORS Partner; and

15.7.3 both parties will immediately cease to use or exploit their previous connections with each other directly or indirectly.

15.8 15.9 Withdrawal from FORS, suspension, downgrade or termination of your FORS accreditation status will not prejudice or affect any right, power or remedy which has accrued or will accrue to either party prior to or after such withdrawal, suspension, downgrade or termination. The provisions in these Terms and Conditions which expressly or impliedly have effect after termination will continue to be enforceable notwithstanding termination.

16. Force Majeure

16.1 Neither party will be deemed to be in breach of these Terms and Conditions, the FORS Standard or the FORS Benefits or otherwise liable to the other party in any manner whatsoever, for any failure or delay in performing its obligations under these Terms and Conditions, the FORS Standard or the FORS Benefits to the extent that such failure or delay is due to any cause preventing either party from performing any or all of its obligations which arises from or is attributable to acts, events, omissions or accidents beyond the reasonable control of that party, including without limitation, riot, civil unrest, war, act of terrorism, threat or perceived threat of act of terrorism, fire, earthquake, storm, flood, abnormal weather conditions or other natural catastrophe, malicious damage, compliance with any law or governmental order, default of suppliers or strikes, lock-outs or other industrial disputes.

17. Rights of Third Parties

17.1 Save that any member of the TfL Group has the right to enforce these Terms and Conditions in accordance with the Contracts (Rights of Third Parties) Act 1999 ("Third Party Act"), the parties do not intend that any of these Terms and Conditions will be enforceable by virtue of the Third Party Act by any person not a party to it.

17.2 Notwithstanding condition 17.1, the parties are entitled to vary or rescind these Terms and Conditions without the consent of the TfL Group.

18. Assignment and Novation

18.1 If the FORS Provider wishes to transfer the operation of FORS (in whole or in part) to another person, the FORS Provider will notify you of such transfer. Within ten Business Days of a written request from the FORS Provider, you will give effect to any such transfer of all or part of its rights and obligations under FORS to one or more persons nominated by the FORS Provider.

18.2 Application for, and accreditation of, FORS is personal to you and you will not assign the benefit or delegate the burden of your application or accreditation or otherwise transfer any right or obligation to any other person under these Terms and Conditions without the prior written consent of the FORS Provider.

19. Non-Waiver of Rights

19.1 No waiver of any of the provisions of these Terms and Conditions is effective unless it is expressly stated to be a waiver and communicated to the other party in writing in accordance with the provisions of condition 21. The single or partial exercise of any right, power or remedy under these Terms and Conditions will not in any circumstances preclude any other or further exercise of it or the exercise of any other such right, power or remedy.

20. Illegality and Severability

20.1 If any provision of these Terms and Conditions (in whole or in part) is held invalid, illegal or unenforceable for any reason by any court of competent jurisdiction, such provision will be severed from these Terms and Conditions and the remaining provisions will continue in full force and effect as if these Terms and Conditions had been executed without the invalid, illegal or unenforceable provision.

21. Notices

21.1 Any notice, demand or communication in connection with these Terms and Conditions will be in writing and may be delivered by hand, pre-paid post, facsimile or e-mail addressed to the recipient at the address notified to the other party in writing in accordance with this condition as an address to which notices, invoices and other documents may be sent.

21.2 The notice, demand or communication will be deemed to have been duly served:

21.2.1 if delivered by hand, at the time of delivery; or

21.2.2 if delivered by pre-paid post, two Business Days after being posted or in the case of Airmail ten Business Days after being posted; or

21.2.3 if delivered by facsimile or e-mail, at the time of transmission/sending, provided that a confirming copy is sent by first class post to the other party within one Business Day of transmission/sending.

22. Entire Agreement

22.1 Subject to condition 22.2, the Terms and Conditions, including all documents referred

to herein, contain all of the terms which the parties have agreed and supersede all prior agreements, understandings or arrangements (both oral and written) relating to the subject matter of these Terms and Conditions. Neither party has been induced to accept these Terms and Conditions by a statement which they do not contain.

- 22.2 Nothing in this condition 22 excludes any liability which one party would otherwise have in respect of any statement it has made fraudulently to the other party.

23. Relationship of the Parties

- 23.1 Nothing in these Terms and Conditions constitutes, or will be deemed to constitute, a partnership or joint venture between the parties nor, except as expressly provided, will either party be deemed to be, or hold itself out as being, the agent of the other.
- 23.2 Subject to any express provisions to the contrary in these Terms and Conditions, you have no right or authority to and will not do any act, enter into any contract, make any representation, give any warranty, incur any liability, assume any obligation, whether express or implied, of any kind on behalf of the FORS Provider or bind the FORS Provider in any way.

24. Dispute Resolution

- 24.1 In the event of any dispute or difference arising out of or in connection with these Terms and Conditions or FORS ("Dispute"), the FORS Provider and your representative will use all reasonable endeavours to negotiate in good faith and settle such Dispute in accordance with this condition 24.
- 24.2 If the Dispute is not settled through discussion between the FORS Provider and your representative within a period of 7 Business Days of the date on which the Dispute arose, the parties may refer the Dispute in writing to a director or chief executive (or equivalent) ("Senior Personnel") of each of the parties for resolution.
- 24.3 If the Dispute is not settled by the Senior Personnel of the parties within a period of 14 Business Days of the date on which the Dispute is referred to them under condition 24.2, either party may commence legal proceedings in accordance with condition 25.
- 24.4 Neither party will be prevented from, or delayed in, seeking any order for specific performance or for interim or final injunctive relief as a result of the provisions of this condition 24 and condition 24 will not apply in respect of any circumstances where such remedies are sought.

25. Governing Law and Jurisdiction

The validity, construction and performance of these Terms and Conditions will be governed by English law and, without prejudice to condition 24, the parties agree to submit to the exclusive jurisdiction of the courts of England.

If you require more information about the Fleet Operator Recognition Scheme please email enquiries@fors-online.org.uk

