



FORS Bronze audit

Score	0 / 0 (0%)	Flagged items	0	Actions	0
Organisation details					
FORS ID					
Company name					
Operating centre name					
Is the organisation's type of business a sole trader?					
What are the main reasons for FORS accreditation?					
What is the accreditation route?					
Address					
Address - Line 1					
Address - Line 2					
Town					
Postcode					
Country					
Point of contact					
Name					
Job title					
Audit details					
Auditor name					
Auditor number					
Audit provider					Unanswered
Audit type					

Audit level

Audit method

Audit date

Pre-audit

Have pre-audit checks been conducted?

Has a pre-audit call been conducted?

FORS audit guidance

The FORS Standard

The FORS Standard defines requirements that must be met by fleet operators if they wish to become FORS accredited.

Terminology

Certain language is used within the FORS Standard relating to organisations, audits and the requirements. Terms relating to the requirements of the FORS Standard are:

- Shall – mandatory demonstration
- Should – good practice
- May – optional or an emerging practice

Related requirements

A call-out box is used at the end of each requirement to show how the demonstration of that particular requirement links to other supporting requirements within the FORS Standard.

A call-out box and an example of how this is used is shown below:

The policy, procedures, risk assessments, method statements, records and data relevant to health and safety shall be:

- Documented and reviewed in accordance with requirement M1
- Retained in accordance with requirement M2
- Communicated in accordance with requirement M5

Temporary vehicles and drivers

Temporary vehicles and drivers that are under the control of the FORS operator are subject to the same requirements of the FORS Standard as permanent owned vehicles and employed drivers.

Temporary vehicles and drivers specifically include:

- Leased and hired vehicles
- Sub-contracted and agency drivers
- Any person that drives on the organisation's business irrespective of vehicle ownership

Small operators

A small operator is an organisation with fewer than five vehicles and fewer than five employees. Although we encourage all operators to produce and maintain documented evidence of meeting the FORS Standard, small operators can demonstrate their policies and procedures verbally at audit. However, all records must be made available to the auditor.

Audit evidence

Each requirement has the option to provide supporting evidence in the form of notes or media upload.

Add note - a free text report on key matters that support either conformity or non-conformity of a requirement and its specific action point.

Media - additional evidence that support either conformity or non-conformity of a requirement and can include a document file or image.

Audit declarations

Responsible person

The operator must be made aware of the following prior to the start of the audit:

1. The operator must be represented by the formally appointed responsible person as required at Bronze M3, who maintains continuous and effective management of the fleet activity.

The responsible person must be available and present for the entirety of the audit and must provide photo ID if requested.

2. Any other staff involved in the fleet operation that conduct specific fleet activities should also be present at the time of audit.

3. Consultants employed in a support role may be present at audit but must not be the sole representative of the operation, unless they are the formally appointed responsible person as required at Bronze M3 and employed to maintain continuous and effective management of the fleet activity.

Has the responsible person been available and present for the entirety of the audit?

Has the responsible person been identified and if requested a photo ID provided?

Operator statement

The following statement must be read out to all operators prior to the start of the audit:

"I declare that the information and evidence provided during this audit is a true and correct reflection of our fleet operation. I understand that any willful dishonesty may result in suspension or termination of our FORS accreditation.

I also understand that FORS accreditation means our fleet operation has demonstrated we have met the requirements of the FORS Standard at the time of audit. It is not a guarantee that all requirements or legal obligations will be met at all times.

I acknowledge that our FORS accreditation must not be used as defence in a court of law, at Public Inquiry or during an enforcement investigation."

Auditor declarations

I declare that I have read the above statements to the operator prior to the start of the audit

I declare that I have not provided any consultant support or assistance to this operator within the past two years.

Audit scope

Briefly describe the scope of operation

Vehicles

Number of PLVs

Number of cars

Number of vans

Number of HGVs

Number of wheeled plants

Number of PCVs

Trailers

Number of light vehicle trailers operated

Number of draw-bar trailers operated

Number of semi-trailers operated

People

Number of staff employed

Number of permanent and temporary drivers employed

Approximate percentage of drivers that are either agency or temporary drivers

0
From 0 to 100

M3 Responsible person

Requirement

To appoint a trained, experienced and (where necessary) qualified person responsible to run the fleet operation.

Audit guidance

A Minor Action Point will be issued for:

- Responsible person not trained within past 5 years but training is booked to be completed within the next three months
- External Responsible person's contract for service not in place, or it does not include one or more of the criteria where relevant
- Responsible person's qualification records not being made available

A Major Action Point will be issued for:

- No responsible person having been formally appointed and qualified (where required)
- Responsible person not trained within past 5 years and no training booked to be completed within the next three months
- Insufficient evidence of the responsible person's presence within the day-to-day operation
- Any circumstance where the appointment of the Responsible Person does not meet the minimum statutory requirements
- Any minor action point from previous year's audit has not been rectified

Audit questions

Responsible person has been appointed to run the fleet operation and maintain continuous and effective management of fleet activities?

M3 Responsible person outcome

M4 Staff resources

Requirement

To provide adequate staff resources to run the fleet operation.

Audit guidance

A Minor Action Point will be issued for:

- No organisation chart in place or it does not include one or more roles
- No recruitment and selection procedure in place
- No requirement in place for drivers to declare any collisions at work that involve engagement with an insurance company and/or the police
- No job descriptions in place for other transport staff

A Major Action Point will be issued for:

- No job description in place for drivers or the responsible person
- No pre-employment checks in place covering all the required criteria
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there an organisation chart in place for staff involved in the fleet operation?

Is there a job description in place that describe individual responsibilities, accountabilities of the role, and the knowledge, skills and experience required to conduct the role for:

Responsible person

Drivers

Other key transport staff

Is there a recruitment and selection procedure in place for new drivers and fleet-related staff?

Are there pre-employment checks in place to validate:

- Employment history
- Qualifications
- Licensing
- Fitness to drive and eyesight
- Ability or eligibility to work

Are drivers required to make a declaration at pre-employment of any collisions at work that involve engagement with an insurance company and/or the police?

M4 Staff resources outcome

M5 Communication

Requirement

To communicate fleet management policies and procedures to all staff involved in the fleet operation.

Audit guidance

A Minor Action Point will be issued for:

- Four or less of the latest versions of the Annex 3 documents have not been communicated

A Major Action Point will be issued for:

- No evidence of communications being in place of the operational information, policies and procedures
- Five or more of the latest Annex 3 documents have not been communicated
- No annual declaration in place for driver responsibilities
- No documentation is used to communicate changes in the fleet operation or its policies and procedures
- Any minor action point from previous year's audit has not been rectified

Audit questions

Has a staff or driver handbook and supporting documentation been used to communicate operational information and organisational policies and procedures?

Do drivers declare acknowledgement of their responsibilities at least annually?

M5 Communication outcome

M6 Vehicle fleet

Requirement

To document details of the vehicle fleet and how vehicles are distributed across the organisation and manage future vehicle fleet replacement challenges.

Audit guidance

A Minor Action Point will be issued for:

- A fleet register being in place but does not include one or more of the criteria
- The types of vehicles on the fleet register do not match the ones declared to FORS

A Major Action Point will be issued for:

- No fleet register in place
- The number of vehicles on the fleet register do not match the number declared to FORS
- Any minor action point from previous year's audit has not been rectified

Is there a fleet register in place that lists vehicle registration marks (VRMs) as a minimum?

M6 Vehicle fleet outcome

M7 Regulatory licensing

Requirement

To hold all regulatory licences and permits relevant to the fleet operation.

Audit guidance

A Minor Action Point will be issued for :

- Regulatory licensing procedure being in place but does not include one or more criteria
- Regulatory licensing procedure not being in place or not correctly controlled (ie dated, version, reviewer)
- Any regulatory licence or permit having been revoked, suspended or curtailed since the previous FORS audit but not reported to FORS

A Major Action Point will be issued for:

- Any regulatory licence or permit being required but not held or valid
- Any regulatory licence or permit being held but not in line with the regulatory licensing requirements (incorrect legal entity name, changes not being reported, conditions and undertakings not being met, incorrect type of licence held)
- Directors on Operator Licence not corresponding with those listed on Companies House
- Number of vehicles and trailers held not within the authorised margin
- Vehicles and trailers listed on the VOL system do not match the ones declared to FORS
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a procedure in place to ensure the organisation is correctly licensed or permitted to operate vehicles relevant to the operation?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Is an Operator Licence required for the operating centre being audited?

Is a waste carrier licence held for the operating centre being audited?

Are any of the following licences or permits required for the operating centre being audited?

If any regulatory licence or permit relevant to the fleet operation has been revoked, suspended or curtailed since the last audit, has it been reported to FORS in accordance with FORS T&Cs?

M7 Regulatory licensing outcome

M8 Health and safety

Requirement

To maintain safe and healthy working conditions.

Audit guidance

A Minor Action Point will be issued for:

- Health and safety policy and procedures being in place but does not include one or more criteria
- Health and safety policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)
- Mandatory risk assessments do not include PPE requirements
- Health and safety risk assessments in place but not correctly controlled (ie dated, version, reviewer). (Content of operational and driving at work risk assessment will be audited at each relevant requirement)

A Major Action Point will be issued for:

- Any one of the mandatory risk assessments not being in place
- Any minor action point from previous year's audit has not been rectified

**Risk assessments can be demonstrated as method statements or SSoW. For operational and driving at work risk assessments, these can also be documented as a procedure.

Audit questions

Is there a Health and Safety policy and supporting procedures in place?

Are health and safety risk assessments or method statements in place for?

Slips, trips and falls

Manual handling

Lone working

Substances hazardous to health

Access to vehicles and working at height

Working around moving vehicles

Reversing, manoeuvring and turning

Coupling, uncoupling and towing trailers

Are operational and driving at work risks documented as either a procedure, risk assessment or method statement?

(The content of each document will be audited at at each relevant requirement)

Seat belts, speed, distraction and adverse weather

In-vehicle communications

Safe loading and load restraint

Routing and scheduling

Passenger safety

Specialist operations

Operational security and counter terrorism

Do risk assessments and method statements include personal protective equipment (PPE) requirements for drivers (and riders)?

Have risk assessments and supporting documentation been version controlled and reviewed within the past 12 months?

M8 Health and safety outcome

M9 Complaints

Requirement

To review and act upon any complaint made against the fleet operation.

Audit guidance

A Minor Action Point will be issued for:

- Complaints policy and procedures being in place but does not include one or more criteria
- Complaints policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)

A Major Action Point will be issued for:

- No evidence of complaints being recorded, investigated and corrective actions being implemented
- Any minor action point from previous year's audit has not been rectified

Is there a policy and supporting procedure in place to manage complaints, grievances and objections made against the organisation or their drivers?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Have all complaints been recorded and investigated in line with the requirements of the FORS Standard?

M9 Complaints outcome

M10 Transport infringements

Requirement

To record, investigate and take action against all transport-related infringements.

Audit guidance

A Minor Action Point will be issued for:

- Transport infringements policy and procedures being in place but does not include one or more criteria
- Transport infringements policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)

A Major Action Point will be issued for:

- No evidence of transport fines and charges being recorded, investigated and corrective actions being implemented
- Any minor action point from previous year's audit has not been rectified

Is there a policy and procedure in place to record, investigate and monitor all transport infringements?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

All infringements have been recorded and investigated in line with the requirements of the FORS Standard?

M10 Transport infringements outcome

M11 Transport updates

Requirement

To keep up-to-date with developments in the fleet and road transport industry.

Audit guidance

A Minor Action Point will be issued for :

- No evidence of industry updates or changes being communicated to drivers

A Major Action Point will be issued for :

- No evidence of the operation keeping up-to-date with the industry updates or changes
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there evidence of how the operation is keeping up-to-date with the developments in the fleet and road transport industry, such as subscription to FORS, DVSA, HSE, trade media?

Is the company a member of a trade association?

Is there evidence of any recent industry developments and changes communicated to drivers and other staff in accordance with M5?

M11 Transport updates outcome

Vehicle records

Vehicle records sampling

The sampling criteria for records is dependent on fleet size. The sample size of vehicle records to be audited is as follows:

1-3 vehicles - all records
4-20 vehicles - three records
21-49 vehicles - four records
50+ vehicles - five records
And
1-3 trailers - one record
4-20 trailers - two records
21-49 trailers - three records
50+ trailers - four records

Additional records may be audited at the discretion of the auditor.
Auditor will be selecting records subject to sampling and will be ensuring that the criteria covers all types of equipment and all maintenance providers.

Audit guidance

Tap the + button to open and complete a vehicle record.

Findings of each of the vehicle records section are to be linked to the relevant FORS Standard requirement to conclude the compliance.

**** ALL AUDITED RECORD DATES MUST BE LISTED IN THE RELEVANT NOTES SECTION FOR EACH QUESTION**

V1 Serviceability and roadworthiness

Requirement

To maintain vehicles, trailers and specialist equipment in a serviceable and roadworthy condition.

Audit guidance

A Minor Action Point will be issued for:

- Roadworthiness policy and procedures being in place but does not include one or more criteria
- Roadworthiness policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)
- Inspection and maintenance plan does not include one or more non-statutory inspections or assessments
- No evidence that the third-party trailers are safe to use and inspected at the agreed frequency
- No evidence of the person undertaking safety inspections being technically competent and operationally aware of the safety standards that apply to the type of fleet they examine
- Vehicle maintenance providers not aligning to those stated on the Operator Licence (VOL system)
- No evidence of vehicle safety recalls being checked and actioned

A Major Action Point will be issued for:

- Inspection and maintenance plan not being in place, not including all vehicles and trailers, and all of the statutory inspections or assessments or less than six months' forecast as at date of audit
- One or more inspections and maintenance events being missed, overdue or not in line with the regulatory requirements and undertakings
- No evidence of brake performance assessments being completed at each safety inspection
- No evidence of pre-delivery or first use inspections being completed
- Vehicle Off Road (VOR) procedure not being followed
- No vehicle maintenance contract(s) in place
- Adequacy of in-house vehicle staff technical competence and maintenance facilities not being declared
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a policy and procedure in place to inspect, service and repair vehicles, trailers and specialist equipment?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Is there evidence of vehicle, trailer and specialist equipment safety recalls being checked, actioned and records being retained?

Is there evidence of VOR procedure being followed?

Is there an inspection and maintenance plan in place?

Does the safety inspection frequency align with the one declared on the VOL system?

Are all inspections and maintenance being completed at the required frequency?

Are all inspections and maintenance records compliant?

What vehicle maintenance provisions are in place?

Are third party trailers operated?

V1 Serviceability and roadworthiness outcome

V2 Daily walkaround checks

Requirement

To check vehicles, trailers and specialist equipment for defects immediately before they are used.

Audit guidance

A Minor Action Point will be issued for:

- Daily walkaround procedure being in place but does not include one or more criteria
- Daily walkaround procedure not being in place or not correctly controlled (ie dated, version, reviewer)
- Drivers expected to repair minor defects not assessed for competency of this task

A Major Action Point will be issued for:

- No evidence of a system to record daily walkaround checks
- A system in place to record daily walkaround checks but it does not including one or more criteria
- No evidence of a system in place for defects being identified, recorded and reported during the daily walkaround checks
- No evidence of a system in place for defect rectifications being completed and signed off before vehicle is used on the road again
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a walkaround check and defect reporting procedure in place?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Has evidence been provided of a system in place to record daily walkaround checks for all vehicles in scope of the FORS accreditation?

If drivers are expected to repair minor defects, has evidence been provided that they are competent to undertake the task?

V2 Daily walkaround checks outcome

V3 Insurance

Requirement

To hold a minimum of third party insurance or self-insurance for the fleet and any other insurance necessary to provide financial protection to the operation.

Audit guidance

A Major Action Point will be issued for:

- Motor insurance in place but it does not cover all drivers, vehicles, trailers, specialist equipment and conditions of use that are within the scope of FORS accreditation
- No evidence of fleet motor insurance or evidence of self-insurance being in place
- No evidence of Employer Liability insurance being in place that covers the employees in scope of FORS accreditation
- Any minor action point from previous year's audit has not been rectified

Audit questions

Are fleet motor insurance certificates or evidence of self-insurance in place?

Are the following insurances in place?

Employers' liability insurance

Public liability insurance

Goods in transit (GiT) insurance

V3 Insurance outcome

V4 Vehicle tax

Requirement

To tax all vehicles operating on public roads.

Audit guidance

A Minor Action Point will be issued for:

- Vehicle tax procedure being in place but does not include one or more criteria
- Vehicle tax procedure not being in place or not correctly controlled (ie dated, version, reviewer)
- Vehicle tax register or planner in place but does not include one or more criteria

A Major Action Point will be issued for:

- No register or planner in place to demonstrate that vehicle tax is being planned
- No evidence provided that all vehicles have been taxed, exemptions applied or declared SORN
- Any minor action point from previous year's audit has not been rectified

Is there a procedure in place to ensure vehicle tax and vehicle tax exemptions are in place?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Is there a register or a planner in place to demonstrate that vehicle tax is being planned?

Has evidence been provided that all vehicles have been taxed, exemptions applied or declared SORN?

V4 Vehicle tax outcome

V5 Load safety

Requirement

To load vehicles and trailers safely and within the legal limits.

Audit guidance

A Minor Action Point will be issued for:

- Load safety policy and procedures in place but does not include one or more criteria
- Load safety policy and procedures not in place or not correctly controlled (ie dated, version, reviewer)
- Load documentation in place but does not include one or more criteria

A Major Action Point will be issued for:

- No evidence of load documentation being in place
- No evidence of correct and serviced equipment being issued to maintain safe loads
- No evidence of drivers and loading staff being trained on safe loading, distribution and load restraint
- No evidence of vehicle dimensions and weights being determined before being driven on public roads
- No evidence of height indicators being displayed in vehicles over 9 feet 10 inches high
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a safe loading and load restraint policy and procedure in place?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Is there a load documentation in place?

Has evidence been provided of correct equipment being issued to maintain safe loads?

Has evidence been provided of vehicle dimensions, laden weight and axle weights being determined before the vehicle is driven?

Has evidence been provided of the drivers and any loading staff being trained on safe loading, distribution and load restraint?

Where the height of vehicles and loads are 9 feet 10 inches (three metres) or above, has evidence been provided of vehicles displaying a height indicator in the cab showing the overall height of the vehicle and load in feet and inches?

V5 Load safety outcome

V6 Vehicle safety equipment

Requirement

To fit larger vehicles with safety equipment that helps protect vulnerable road users.

Audit guidance

A Major Action Point will be issued for HGVs and PCVs designed to carry more than 16 passengers not being fitted with:

- Side under-run protection on both sides (where relevant)
- Class V and VI close-proximity mirrors or camera monitoring systems to achieve the same field of view (where relevant)
- Blind spot signage
- Any minor action point from previous year's audit has not been rectified

Audit questions

Are HGVs (goods vehicles over 3.5 tonnes GVW or alternatively fuelled vehicles over 4.25 tonne GVW) or PCVs designed to carry more than 16 passengers being operated?

V6 Vehicle safety equipment outcome

V7 Tyre management

Requirement

To monitor tyre usage and maintain tyres in a serviceable and roadworthy condition.

Audit guidance

A Minor Action Point will be issued for:

- Tyre management policy and procedures being in place but does not include one or more criteria
- Tyre management policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)
- No documentation in place of the in-house tyre maintenance equipment maintenance and engineering resources competence

A Major Action Point will be issued for:

- No evidence of tyre torque and re-torque checks being recorded and retained on file following wheel refitting
- No evidence of tyre recycling and disposal not being conducted in accordance with local waste regulations
- No evidence of tyre maintenance arrangements being in place
- No evidence of tyre reports being reviewed and retained, and quality of any contracted work being monitored
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a policy and procedure in place to manage tyre selection, condition and replacement against vehicle usage?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Is tyre recycling and disposal conducted in accordance with local waste regulations?

Are torque and re-torque checks being recorded and retained on file following wheel refitting?

Tyre maintenance provision in place

Are tyre reports being retained and reviewed, and quality of any contracted work being monitored?

V7 Tyre management outcome

Driver records

Driver records sampling

The sampling criteria for records is dependent on the number of drivers employed. The sample size of driver records to be audited is as follows:

1-3 drivers - all records

4-20 drivers - four records

21-49 drivers - five records

50+ drivers - six records

Additional records may be audited at the discretion of the auditor.

The auditor will be selecting records subject to sampling and will be ensuring that the criteria covers all types of operation (eg those under EU and domestic hours, etc)

Audit guidance

Tap the green + button to open and complete a driver record.

Findings of each of the driver records section are to be linked to the relevant FORS Standard requirement to conclude the compliance.

**** ALL AUDITED RECORD DATES MUST BE LISTED IN THE RELEVANT NOTES SECTION FOR EACH QUESTION ****

D1 Licensing

Requirement

To verify that all drivers hold a valid licence for the category and type of vehicle they are tasked to drive and manage any risks associated with endorsements or restrictions.

Audit guidance

A Minor Action Point will be issued for:

- Licensing procedure not being in place or not correctly controlled (ie dated, version, reviewer)
- No approved risk scale being used for higher risk drivers

A Major Action Point will be issued for:

- No system in place to evidence licence checks being undertaken
- A system in place for GB issued licences to be checked but it does not access DVLA data
- No competent person or agent in place to interpret driving licence information
- Licence checks not being conducted at least every six months
- Licence checks does not include validating categories, expiry dates, endorsements and restriction codes
- Driver Qualification Card validity checks are not being completed
- Driver tachograph card validity checks are not being completed
- No driver annual declaration in place to report licence endorsements, driving infringements and restrictions
- For drivers licensed outside the UK, licence checks not being verified through an equivalent licensing authority, where such a service is available
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a procedure in place to check and verify all driver licences, categories, expiry dates, endorsements and restrictions?

Is there a system in place for driver licence checks being conducted and records of the checks being retained?

Are drivers required to declare, at least annually, their responsibility to report any licence endorsements, driving infringements and restrictions to the responsible person, whether incurred on or off duty?

Are there any drivers that are not licensed through DVLA?

D1 Licensing outcome

D2 Driving standards

Requirement

To require all drivers to have knowledge of and comply with the rules of the road.

Audit guidance

A Minor Action Point will be issued for:

- Driving standards policy and procedures being in place but does not include one or more criteria
- Driving standards policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)

A Major Action Point will be issued for:

- No evidence of all drivers being provided with access to the current version of the The Highway Code for UK-based operations
- No evidence of drivers declaring that they have access to, read and understood, the driving standards policy and/or the current version of The Highway Code at least annually
- Driver incentive scheme in place that could promote or encourage unsafe behaviour
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there driving standards policy and procedure documentation in place?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Have all drivers been provided access to the current version of the The Highway Code for UK-based operations?

Do drivers declare, at least annually, that they have access to, and read and understood:

The Driving standards policy?

The current version of The Highway Code?

Is there a driver incentive scheme in place?

D2 Driving standards outcome

D3 Staff induction

Requirement

To inform drivers and other staff involved in the fleet operation of the fleet operation policies, procedures and FORS accreditation, from the start of their employment.

Audit guidance

A Minor Action Point will be issued for:

- Induction procedure not being in place or not correctly controlled (ie dated, version, reviewer)
- Induction declaration(s) not being made
- Induction records missing one or more additional checklist criteria

A Major Action Point will be issued for:

- No induction records
- Induction records missing one or more safety critical checklist criteria
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a staff induction procedure in place?

Does the induction record include all of the following safety critical checklist criteria:

- The organisation's policies and procedures and being relevant to the member of staff's working environment
- Health and safety policy in accordance with requirement M8
- The importance of vulnerable road user safety, air quality and emissions
- Familiarisation training on vehicles, routes and sites

Does the induction record include the following additional checklist criteria:

- FORS, the level of accreditation, its requirements and general obligations
- Appraisal, professional development and performance management procedures
- Training needs and FORS Professional Development identified in accordance with requirement D4
- Any specific requirements of principal contracts (where relevant)

On completion of induction, is a declaration made by the:

Person responsible for conducting the induction, stating that the member of staff has been familiarised with the organisation's policies and procedures

Member of staff, stating that they are fully familiar with the organisation's values, policies and procedures?

D3 Staff induction outcome

D4 Professional development

Requirement

To professionally develop drivers and all other staff involved in the fleet operation, through progressive FORS Professional Development.

Audit guidance

A Minor Action Point will be issued for:

- PDP(s) in place but does not include at least one of the criteria listed

A Major Action Point will be issued for:

- No PDP(s) in place
- Mandatory FORS Professional Development requirements not being managed and completed as set out at Annex 1
- Mandatory Driver CPC training requirements not being managed and completed
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a Professional Development Plan (PDP) in place for drivers and each staff member involved in the fleet operation?

Do PDPs include:

- Who needs the training
- The training need identified (including FORS mandatory training, Driver CPC, operational and specialist training)
- Method of training delivery
- How the development need was identified – such as induction, appraisals or performance management (cross-reference with M9, M10, D7, O3, etc)
- Planned and completion dates

Are PDPs:

- Relevant to the fleet type and sector
- Relevant to the operating environment and the risks identified
- Updated when new training needs are identified, such as changes in responsibilities, vehicles, equipment or risks

Are FORS Professional Development requirements being managed and completed as set out at Annex 1 (for drivers and riders)?

Are drivers required to undertake Driver CPC?

D4 Professional development outcome

D5 In vehicle communication

Requirement

To not cause or permit a driver to use a hand-held mobile phone or any other hand-held communication device while driving.

Audit guidance

A Minor Action Point will be issued for:

- In-vehicle communications policy and procedures being in place but does not include one or more criteria
- In-vehicle communications policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)

A Major Action Point will be issued for:

- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a policy and procedure documentation in place on the use of hand-held mobile phones and interactive communication devices while driving?

D5 In-vehicle communication outcome

D6 Health and eyesight

Requirement

To require that drivers are fit to drive, are not impaired and meet the minimum eyesight standard for driving.

Audit guidance

A Minor Action Point will be issued for:

- Health and eyesight policy and procedures being in place but does not include one or more criteria
- Health and eyesight policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)
- Eyesight check records do not include information on the person supervising the checks and/or follow up actions

A Major Action Point will be issued for:

- No evidence of eyesight checks being conducted at the required frequency
- No evidence of eyesight checks records capturing the required detail
- No evidence of health declarations being signed at least annually
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there policy and procedure documentation in place on fitness to drive and the eyesight standards for driving?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Is there a system in place for eyesight checks being conducted?

Are drivers making an annual declaration of their responsibility to report any health or eyesight condition and to inform the DVLA or relevant driving licence authority of reportable medical conditions?

D6 Health and eyesight outcome

D7 Working time and drivers' hours

Requirement

To manage drivers' working time and driving hours.

Audit guidance

A Minor Action Point will be issued for:

- Drivers hours and working time policy and procedures being in place but does not include one or more criteria
- Drivers hours and working time policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)

A Major Action Point will be issued for:

- No evidence of drivers' hours data being obtained, processed and analysed
- No evidence of drivers' working time data being obtained, processed and analysed
- No evidence of vehicle unit data being obtained, processed and analysed
- Company tachograph card(s) not being in date
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there policy and procedure documentation in place on working time, drivers' hours and their alignment?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Is there a system and records in place for obtaining, processing and analysing the relevant drivers' hours data?

Is there a system and records in place for obtaining, processing and analysing the relevant working time data?

Is there a system and records in place for obtaining, processing and analysing the relevant vehicle unit data?

Is the company tachograph card in date?

D7 Working time and drivers' hours outcome

O1 Routing

Requirement

To adhere to compliant, safe and efficient routes.

Audit guidance

A Minor Action Point will be issued for:

- Routing procedure being in place but does not include one or more criteria
- Routing procedure not being in place or not correctly controlled (ie dated, version, reviewer)

A Major Action Point will be issued for:

- No method in place to capture distance travelled data across the fleet recorded by vehicle type
- Routes are not planned considering any load constraints in accordance with requirement V5
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there procedure in place to plan and adhere to compliant, safe and efficient routes?

Is the procedure in date and correctly controlled with:

- Version number
- Review date
- Reviewer name

Does the procedure and risks documented specifically include adherence to routes authorised by a competent authority, such

as:

- Prescribed passenger routes for PCVs
- Designated routes to and from construction sites
- Permit-controlled routes, such as the London Lorry Control Scheme
- Notified routes for abnormal indivisible load (AIL) movements

Does the risk assessment, method statement or procedure include:

- Vehicle dimension and weight restrictions, particularly at bridges and structures
- Any route permits and approvals required
- Origin, destinations and any specific hazards identified
- Community considerations such as schools, hospitals and cycle routes
- The impact on working time and drivers' hours
- Vehicle emissions standards and restrictions
- Parking, loading and unloading restrictions
- Any road user charging schemes or tolls

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Is distance travelled across the fleet monitored and recorded by vehicle type?

Routes are planned considering any load constraints in accordance with requirement V5?

O1 Routing outcome

O2 Emissions, air quality and environmental impact

Requirement

To monitor and manage fuel consumption and emissions and commit to reduce negative environmental impacts.

Audit guidance

A Minor Action Point will be issued for:

- Environmental impact policy and procedures being in place but does not include one or more criteria
- Environmental impact policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)
- No records in place for diesel to AdBlue ratio being recorded by VRM
- No evidence to support reduction and elimination initiatives on engine-idling in accordance with relevant regulations

A Major Action Point will be issued for:

- No records in place for fuel used across the fleet being collected and monitored by VRM
- No records in place for AdBlue used across the fleet being collected and monitored by VRM
- Previous year audit minor action points not rectified

Audit questions

Is there policy and procedure documentation in place that outline the organisation’s commitment to environmental performance and to monitor fuel consumption and environmental impact?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Are there records in place for fuel used across the fleet data being collected and monitored by VRM?

Are there records in place for AdBlue used across the fleet data being collected and monitored by VRM?

Are there records in place for diesel to AdBlue ratio being collected and monitored by VRM?

Is there evidence to support reduction and elimination initiatives on engine-idling in accordance with relevant regulations?

O2 Environmental Impact outcome

O3 Road traffic collisions

Requirement

To document and investigate road traffic collisions, incidents and near-misses.

Audit guidance

A Minor Action Point will be issued for:

- Road traffic collisions policy and procedures being in place but does not include one or more criteria
- Road traffic collisions policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)

A Major Action Point will be issued for:

- Road traffic collisions, incidents and near-misses not being recorded
- Road traffic collisions, incidents and near-misses not being investigated to determine primary and contributory factors
- Road traffic collisions, incidents and near-miss facts are monitored to determine and implement remedial actions
- No evidence to support that drivers have been assessed for wellbeing and competency prior to returning to their duties
- No evidence to support that vehicles have been repaired to a safe and legal state prior to being returned to the road
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there policy and procedure documentation in place to record and investigate road traffic collisions, incidents and near-misses?

This part of the audit report is to cross-reference if there are records in place to comply with the requirements of the FORS Standard. Where notes are required to be added, please record factual information such as dates, reference numbers, invoice numbers, etc.

Have all road traffic collisions, incidents and near-misses been recorded and investigated to determine primary and contributory factors?

Have the road traffic collision facts been monitored to determine and implement remedial actions, and where contractually required, reported to the client?

Is there evidence of collision damage and repair procedure being followed through?

O3 Road traffic collisions outcome

O4 Passenger safety

Requirement

To carry passengers in such a manner that no danger is likely to be caused.

Audit guidance

A Minor Action Point will be issued for:

- Passenger safety policy and risk assessments being in place but does not include one or more criteria
- Passenger safety policy not being in place or not correctly controlled (ie dated, version, reviewer)

A Major Action Point will be issued for:

- Where relevant, no DBS checks being conducted at least every three years
- Any minor action point from previous year's audit has not been rectified

Audit questions

Are vehicles designed to carry one or more passengers being operated?

Are vehicles accessible to disabled people?

Do drivers or other staff come into contact with public passengers within their role?

O4 Passenger safety outcome

O5 Specialist operations

Requirement

To conduct specialist operations safely and in accordance with the law.

Audit questions

Are any of the following specialist fleet operations conducted by the organisation

O5 Specialist operations outcome

O6 Security and counter terrorism

Requirement

To recognise the current terrorist threat level and raise awareness, operational security and vigilance across the whole organisation.

Audit guidance

A Minor Action Point will be issued for:

- Security and counter terrorism policy and procedures being in place but does not include one or more criteria
- Security and counter terrorism policy and procedures not being in place or not correctly controlled (ie dated, version, reviewer)
- Risk assessments documentation in place but does not include one or more of the criteria

A Major Action Point will be issued for:

- No security and control measures in place to safeguard against security and counter terrorism threats
- Any minor action point from previous year's audit has not been rectified

Audit questions

Is there a policy and procedure documentation in place to safeguard against potential terrorist threats, security breaches, unauthorised vehicle access and theft of vehicles, loads, fuel and equipment?

O6 Operational security outcome

M1 FORS Documentation

Requirement

To manage, review, revise and retain all documentation relevant to the FORS Standard.

Audit guidance

A Minor Action Point will be issued for:

- Version control method in place but missing either version number, review date or reviewer's name

A Major Action Point will be issued for:

- 5 or more policy and procedure documents not presented
- 5 or more documents not reviewed within past 12 months
- No method of version control in place
- Any minor action point from previous year's audit has not been rectified

Audit questions

Explain how all documentation relevant to the FORS Standard is managed, reviewed, revised and retained?

Are all policy and procedure documents in place as required at Annex 3?

Is all FORS documentation controlled with version number, review date and reviewer's name?

Has all FORS documentation been reviewed within the past 12 months?

M1 FORS Documentation outcome

M2 Records

Requirement

To manage and retain all records relevant to the FORS Standard.

Audit guidance

A Minor Action Point will be issued for:

- Records management procedure being in place but does not include one or more criteria
- Records management procedure not being in place or not correctly controlled (ie dated, version, reviewer)

A Major Action Point will be issued for:

- Any record selected for audit is not legible, accessible or retrievable
- One or more relevant statutory records missing
- One or more records retention periods shorter than the required period
- Any minor action point from previous year's audit has not been rectified

Audit questions

Explain how records relevant to the FORS Standard are managed and retained?

Is there a procedure in place to retain all documents, records and data relevant to the FORS Standard?

Is there an evidence that all records and data relevant to the FORS Standard have been retained for required periods, legible, accessible or retrievable?

M2 Records outcome

Audit outcome

Audit completion time

Total number of Major Action points

Total number of Minor Action poits

Audit overall grade

Approval

Audit Provider QA

Name

Date

Comments
