

Levels of Compliance: Checking and Monitoring Process

Contractual compliance:

	Name	Tools and guidance
Stage: A	Compliant contracts Relevant contracts include Work Related Road Risk clauses (WRRR) Suppliers informed For new contracts use of pre-qualification questionnaire to ensure suppliers are compliant prior to award	<ul style="list-style-type: none"> • WRRR Guide: Managing Work Related Road Risk in contracts • Example WRRR Contractual Clauses • Example Letter to Suppliers • Appendix: WRRR Requirements • WRRR Compliance Check leaflet
Stage: B	Self-certification by supplier Issue and monitor responses	<ul style="list-style-type: none"> • Self-Certification Form • Example Letter to Suppliers
Stage: C	Follow-up through contracts Follow up on self certification forms not returned and non-compliant forms Check compliance against information held online Reminder to suppliers Make contact with supplier and agree remedial action Follow up on non-compliance reports received from on-site compliance checking Make contact with supplier and agree remedial action or take appropriate commercial action	<ul style="list-style-type: none"> • Example Letter to Suppliers • FORS Online check: http://www.fors-online.org.uk/memberslist.php • WRRR Compliance Check leaflet • Compliance Check Form • Non-Compliance Report template

continued overleaf...

On-site compliance:

Name		Tools and assistance
Level: 1	Monitor compliance levels on-site Compliance checks carried out using check form	<ul style="list-style-type: none">• Compliance Check Form and Non-Compliance Report template• WRRR Compliance Check leaflet• Workplace poster
Level: 2	Warnings issued to non-compliant vehicles Compliance checks carried out using check form Compliance officer issues driver non-compliance notification	<ul style="list-style-type: none">• Compliance Check Form and Non-Compliance Report template• Driver Non-Compliance Notification• WRRR Compliance Check leaflet• Workplace poster
Level: 3	Refuse access to non-compliant vehicles Compliance checks carried out using check form Vehicle and driver turned away as a material breach of contract has occurred. Recorded as a 'failed delivery' Driver issued with non-compliance notification Follow-up with operator through Stage C, Contractual Compliance	<ul style="list-style-type: none">• Compliance Check Form and Non-Compliance Report template• Driver Non-Compliance letter• WRRR Compliance Check leaflet• Workplace poster

Further information:

WRRR Guide: Managing Contract Compliance

<http://www.tfl.gov.uk/info-for/freight/safety-and-the-environment/managing-risks-wrrr>