



FORS Bronze audit

The FORS Bronze audit is a systematic, independent, objective and documented process for gathering facts about a fleet operation. This helps identify areas for improvement and ensure good fleet practices are in place. Driving continual safety, environmental and efficiency improvement is a key part of the FORS Standard.

Title Page

Organisation details

*** FORS ID**

Text answer

*** Company name**

Text answer

*** Operating centre name**

Text answer

*** Is the organisation's type of business a sole trader?**

Select one

☐ Yes

☐ No

*** What are the main reasons for FORS accreditation?**

Multiple choice

☐ Industry good practice

☐ Required for contract - Please state

☐ Other - please state

If answer is Other - please state

Require Evidence

If answer is Required for contract - Please state

Require Evidence

*** What is the accreditation route?**

Select one

☐ SOCA

☐ MOCA

☐ IAFA

Address

*** Address - Line 1**

Text answer

Address - Line 2

Text answer

*** Town**

Text answer

*** Postcode**

Text answer

*** Country**

Text answer

Point of contact

*** Name**

Text answer

*** Job title**

Text answer

Audit details

*** Auditor name**

Text answer

*** Auditor number**

Text answer

*** Audit provider**

Text answer

*** Audit type**

Select one

- ☐ Audit
- ☐ Re-approval audit
- ☐ Enhanced audit
- ☐ Follow up audit
- ☐ Reapproval follow up audit
- ☐ Enhanced follow up audit
- ☐ MOCA HO - with vehicles
- ☐ MOCA HO - without vehicles
- ☐ MOCA HO - with vehicles follow up
- ☐ MOCA HO - without vehicles follow up

*** Audit level**

Select one

- ☐ Bronze

*** Audit method**

Select one

- ☐ On site
- ☐ Remote
- ☐ Online - Desktop

*** Audit date**

Date/time

Enter Date and Time:

___ ___ / ___ ___ / ___ ___ ___ ___

___ ___ : ___ ___ AM / PM

Pre-audit

*** Have pre-audit checks been conducted?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1

*** 1.0. Date of the pre-audit checks**

Date/time

Enter Date:

___ / ___ / ___

Pre-audit checks

*** Is the organisation named in any HSE press releases for investigation or enforcement action?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Do Companies House (where relevant) legal entity name and directors align with Operator Licence (where applicable) and FORS?**

Select one

☐ Yes

☐ No

If answer is Yes

<trigger not defined>

If answer is No

Require Evidence

*** Has the Office of the Traffic Commissioner been checked for validity and scope of Operator Licence?**

Select one

☐ Yes

☐ No

If answer is Yes

<trigger not defined>

If answer is No

Require Evidence

*** Is the organisation named in the Office of the Traffic Commissioner Applications and Decisions in relation to public inquiry?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Does the FORS complaints register include any open complaints?**

Select one

☐ Yes

☐ No

If answer is one of Yes

Require Evidence

If answer is one of Yes

Answer Question(s) 5.0

5.0 - Ensure that all open complaints are reported to Audit Provider prior to the audit for further guidance. Ensure that details of all closed complaints and their investigation are checked at the requirement M9.

Instruction

*** Does the previous FORS audit report include any minor action points (if yes, list the relevant requirements)?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

If answer is Yes

Answer Question(s) 6.0

6.0 - Check whether outstanding action point(s) are closed at the relevant requirement(s). Any minor action point from the previous audit report that is not closed shall be reported as a Major action.

Instruction

If answer is No

Answer Question(s) 1.2

*** 1.2. Why were pre-audit checks not completed?**

Text answer

*** Has a pre-audit call been conducted?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 2.0

*** 2.0. Date of the pre-audit call**

Date/time

Enter Date and Time:

___ ___ / ___ ___ / ___ ___ ___

___ ___ : ___ ___ AM / PM

If answer is No

Answer Question(s) 2.1

*** 2.1. Why was a pre-audit not completed?**

Text answer

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.

Instruction

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

Instruction

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.

Instruction

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

Instruction

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

Instruction

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.

Instruction

Audit evidence

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

Instruction

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.

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:

Instruction

1-3 drivers - all records

4-20 drivers - three records

21-49 drivers - four records

50+ drivers - five 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)

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:

Instruction

1-3 vehicles - all records

4-20 vehicles - three records

21-49 vehicles - four records

50+ vehicles - five records

And

1-5 trailers - one record

5+ trailers - two 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.

FORS documentation referencing

FORS documentation shall be readily accessible to staff and, where they are held centrally, they shall be available and accessible to all operating centres.
FORS documentation may be written into one or more documents. Where policies and procedures are held within other documents, they shall be appropriately referenced and easily accessible to staff.
Auditors will require to reference each policy and procedure document presented to meet the FORS Standard by recording identifiable information such as the official document title/reference number (i.e. Driver Health and Fitness Policy, ref. ABC125), location (i.e. pg. 123 of the Driver Handbook, v7.1), etc.

Instruction

Audit outcome and actions

We will email you the audit report within 10 working days of your audit. If the result is a pass, your Bronze certificate will be included. The audit report will outline the action plan with any action points that have been identified and require attention.

Instruction

The audit outcome can be:

Pass - your organisation will become a FORS accredited operator
Pass with minor action points - your organisation will become a FORS accredited operator, however, the minor action points must be resolved before the next Bronze audit
Fail - your organisation will not become a FORS accredited operator, and an action plan will be issued. The major action points raised in the action plan must be resolved within 30 calendar days of receiving notification of the audit results, via a follow-up audit.

Please note that the auditor may discuss their recommendations but will not inform you about the audit results.

Audit declarations

Responsible person

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

Instruction

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.

Instruction

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.

Instruction

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.

Instruction

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

Select one

☐ Yes

☐ No

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

If answer is No

Require Evidence

Operator statement

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

Checkbox

"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

Checkbox

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

Checkbox

Audit scope

* Briefly describe the scope of operation Text answer

Vehicles

* Number of PLVs Number

* Number of cars Number

* Number of vans Number

* Number of HGVs Number

* Number of wheeled plant Number

*** Number of PCVs**

Number

Trailers

*** Number of light vehicle trailers operated**

Number

*** Number of draw-bar trailers operated**

Number

*** Number of semi-trailers operated**

Number

People

*** Number of staff employed**

Number

*** Number of permanent and temporary drivers employed**

Number

*** Approximate percentage of drivers that are either agency or temporary drivers**

Slider

0 to 100

M3 Responsible person

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- 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 awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1, 1.2, 1.3, 1.4, 1.5, 1.6

*** 1.0. What is the name of the appointed responsible person?**

Text answer

*** 1.1. Is the responsible person formally appointed with:**

Multiple choice

- ☐ Job title
 - ☐ Contract of employment
 - ☐ Job description
 - ☐ No formal appointment
-

1.2 - Does the responsible person meet the following three criteria?:

Instruction

*** 1.3. 1. Competence through relevant qualifications**

Select one

- ☐ Yes
 - ☐ No
 - ☐ NA
-

If answer is Yes

Answer Question(s) 1.3.0

*** 1.3.0. Is the record of TM CPC qualification for the responsible person being maintained?**

Select one

- ☐ Yes
 - ☐ No
 - ☐ NA
-

If answer is Yes

Answer Question(s) 1.3.0.0,
1.3.0.1, 1.3.0.2

*** 1.3.0.0. Certificate number**

Text answer

*** 1.3.0.1. Awarding body**

Text answer

*** 1.3.0.2. Certificate issue date**

Text answer

*** 1.4. 2. Competence through FORS Professional Development training in the past 5 years as set out at Annex 2 for managers**

Multiple choice

- ☐ TM CPC qualification
- ☐ FORS Approved TM CPC refresher or OLAT
- ☐ Fleet Management Essentials (O Licence)
- ☐ Fleet Management Essentials (Car Van)
- ☐ FORS Practitioner modules
- ☐ No training completed

If answer is Fleet Management Essentials (Car Van)

Answer Question(s) 1.4.0

*** 1.4.0. Date of the FME (car van) course**

Text answer

If answer is FORS Approved TM CPC refresher or OLAT

Answer Question(s) 1.4.1, 1.4.2

*** 1.4.1. Date of TM CPC refresher or OLAT**

Text answer

*** 1.4.2. Training provider for TM CPC refresher or OLAT**

Text answer

If answer is FORS Practitioner modules

Answer Question(s) 1.4.3

*** 1.4.3. Date(s) of FORS Practitioner module(s)**

Text answer

If answer is Fleet Management Essentials (O Licence)

Answer Question(s) 1.4.4

*** 1.4.4. Date of the FME (O Licence) course**

Text answer

If answer is No training completed

Answer Question(s) 1.4.5

*** 1.4.5. Has training been booked to be completed within the next three months?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** 1.5. 3. Continuous and effective control and responsibility of all aspects of the fleet operation including to decide the use of the vehicles, trailers and relevant staff?**

Select one

☐ Yes

☐ No

*** 1.6. What employment status is the responsible person?**

Select one

☐ Permanent employee

☐ Ad hoc consultant

☐ External contractor

If answer is External contractor

Answer Question(s) 1.6.0

*** 1.6.0. Is the external responsible person's contract for services in place:**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.6.0.0

*** 1.6.0.0. Does the contract for service include:**
- A sufficient number of hours per week dedicated to the operation
- Details of management duties undertaken for other operators
- Responsibilities to maintain effective management control over the day-to-day functioning of the operation

Select one

☐ Yes

☐ No

☐ NA

If answer is one of No or NA

Require Evidence

*** M3 Responsible person outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

M4 Staff resources

Requirement

To provide adequate staff resources to run the fleet operation.

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- No organisation chart in place or it does not include one or more roles.
- No recruitment and selection procedure document(s) in place.
- No collisions at work declarations in place that involve engagement with an insurance company and/or the police.
- No job descriptions in place for other transport staff.

Instruction

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the organisation chart include:**

Select one

- Responsible person
- Health & safety responsible person
- Technical engineering responsible person
- Specialist operations responsible person (if applicable)
- Fuel and emissions champion
- Road risk champion
- Security & counter terrorism champion

- Number of drivers

☐ Yes

☐ No

If answer is No

Require Evidence

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

Instruction

*** Responsible person**

Select one

☐ Yes

☐ No

☐ NA

*** Drivers**

Select one

☐ Yes

☐ No

☐ NA

*** Other key transport staff**

Select one

☐ Yes

☐ No

☐ NA

*** Is there a documented recruitment and selection procedure in place for new drivers and fleet-related staff? Record the procedure document(s) reference and/or location that was evidenced in support of this.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Are there pre-employment checks in place to validate:**

Select one

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

Record details for a sample in support of this by capturing driver initials, the date of completion and the format in which the records have been evidenced.

☐ Yes

☐ No

☐ NA

If answer is one of Yes or NA

Require Evidence

*** 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? Record the specific records/documentation reference that were evidenced in support of this.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or NA

Require Evidence

*** M4 Staff resources outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

M5 Communication

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

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

A Major Action Point will be awarded for:

- No evidence of communications of five or more latest version policies, procedures and risk assessments.
- No evidence of the latest version policies, procedures and risk assessments have been acknowledged.
- Annual declarations of driver responsibilities not being signed.
- 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

*** Have all the latest version policies, procedures and risk assessments as listed at Annex 3 of the FORS Standard been communicated to all key transport staff?**

Select one

- ☐ Yes
- ☐ 4 or less documents not communicated
- ☐ 5 or more documents not communicated
- ☐ No

If answer is one of Yes, 4 or less documents not communicated or 5 or more documents not communicated Answer Question(s) 1.0, 1.1, 1.2

*** 1.0. Date(s), format and method used to issue these communications of the latest version policies, procedures and risk assessments as listed at Annex 3 to drivers and other transport staff?**

Text answer

*** 1.1. Have the communications of the latest version company policies, procedures and risk assessments been acknowledged by drivers? Record details for a full sample in support of this by capturing driver initials, the date of completion and detail the specific records that have been evidenced, e.g., signed hard copy declarations, read receipts of a system that captures a digital footprint.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or NA

Require Evidence

*** 1.2. Have drivers signed a declaration acknowledging their individual responsibilities in the past 12 months? Record details for a sample in support of this by capturing driver initials, the date of completion and detail the specific records that have been evidenced, e.g., signed hard copy declarations, read receipts of a system that captures a digital footprint.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes, NA

Require Evidence

*** What other supporting documentation is used to communicate changes in the fleet operation or its policies and procedures?**

Multiple choice

☐ Toolbox talks

☐ Method statements

☐ Safe systems of work

☐ Bulletins or Campaigns

☐ Verbal briefings

☐ Memos, letters, notices

☐ Other

☐ None

If answer is Other

Require Evidence

*** M5 Communication outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is one of Minor Action Point or Major Action Point

Require Action

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.

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- 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 awarded 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.

Audit questions

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 4.0, 4.1, 4.2

*** 4.0. Does the fleet register include the following criteria?**

Select one

- Vehicle identification numbers (VINs) for all trailers (if applicable)
- Type of vehicles/trailers held and operated
- Ownership type of all vehicles and trailers
- Fuel type of all vehicles
- The parking arrangements for vehicles and trailers
- Number of operating centres and their addresses

☐ Yes

☐ No

If answer is No

Require Evidence

*** 4.1. Does the number of vehicles on the fleet register match what has been registered with FORS?**

Select one

☐ Yes

☐ No

*** 4.2. Does the type of vehicles on the fleet register match what has been registered with FORS?**

Select one

☐ Yes

☐ No

*** M6 Vehicle fleet outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

M7 Regulatory licensing

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for :

Instruction

- Regulatory licensing procedure in place but does not include one or more criteria.
- 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 awarded 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?**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the procedure documentation include information on**

Select one

licences and permits, where applicable, to be:

- Held in the correct legal entity
- In date or within their review date
- Reviewed to ensure conditions and undertakings are being met
- Correspondence address being correctly stated on licences and permits
- Sufficient discs, plates and permits are obtained and displayed
- Reviewed for changes for notification to the relevant licence or permit authority within the stated timescales

☐ Yes

☐ No

If answer is No

Require Evidence

If answer is NA

Require Evidence

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 2.0

*** 2.0. Is an Operator Licence held for the operating centre being audited?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 2.0.0, 2.0.1,
2.0.2, 2.0.3, 2.0.4, 2.0.5, 2.0.6,
2.0.7, 2.0.8, 2.0.9

*** 2.0.0. Type of Operator Licence**

Select one

- ☐ Standard National
- ☐ Standard International
- ☐ Restricted

*** 2.0.1. Operator Licence number**

Text answer

*** 2.0.2. Do the director(s) on the Operator Licence correspond with those listed at Companies House?**

Select one

- ☐ Yes
- ☐ No
- ☐ NA

If answer is one of Yes, No

Answer Question(s) 2.0.2.0

*** 2.0.2.0. Company House number**

Text answer

*** 2.0.3. Is the Operator Licence valid in line with the regulatory licensing requirements (including any specific undertakings where applicable)?**

Select one

- ☐ Yes
- ☐ No

If answer is No

Require Evidence

*** 2.0.4. Number of vehicles authorised**

Number

*** 2.0.5. Number of vehicles held as listed on VOL**

Number

*** 2.0.6. Number of trailers authorised**

Number

*** 2.0.7. Number of trailers held**

Number

*** 2.0.8. Are the number of vehicles and trailers held within the authorised margin?**

Select one

☐ Yes

☐ No

*** 2.0.9. Do the vehicles and trailers listed on the VOL system for the OC that is being audited match those listed on the fleet register?**

Select one

☐ Yes

☐ No

If answer is one of No

Require Evidence

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 3.0

*** 3.0. What tier is the waste carrier licence?**

Select one

☐ Upper tier

☐ Lower tier

If answer is Upper tier

Answer Question(s) 3.0.0, 3.0.1

*** 3.0.0. Waste carrier licence number and expiry date**

Text answer

*** 3.0.1. Is the Waste carrier licence valid in line with the regulatory licensing requirements?**

Select one

☐ Yes

☐ No

If answer is Lower tier

Answer Question(s) 3.0.2, 3.0.3

*** 3.0.2. Waste carrier licence number**

Text answer

*** 3.0.3. Is the Waste carrier licence valid in line with the regulatory licensing requirements?**

Select one

☐ Yes

☐ No

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

Multiple choice

- ☐ Regional or city permits
- ☐ Passenger service permit
- ☐ Section 19 permit
- ☐ Section 22 permit
- ☐ Private hire licence
- ☐ NA

If answer is not NA

Answer Question(s) 4.0

*** 4.0. Are the licences and permits valid in line with the regulatory licensing requirements?**

Select one

- ☐ Yes
- ☐ No

If answer is Regional or city permits

Answer Question(s) 4.1

*** 4.1. Are regional/city permits in place? Record details for a sample in support of this by capturing vehicle registration number and permit number(s).**

Select one

- ☐ Yes
- ☐ No
- ☐ NA

*** 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?**

Select one

- ☐ Yes
- ☐ No
- ☐ NA

*** M7 Regulatory licensing outcome**

Multiple choice

- ☐ Pass
- ☐ Minor Action Point

[] Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

M8 Health and safety

Requirement

To maintain safe and healthy working conditions.

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- Health and safety policy and procedures in place but does not include one or more criteria.
- Risk assessments do not include PPE requirements.

Instruction

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1

*** 1.0. Does the policy and supporting procedure documentation include information on:**

Select one

- Managing health and safety in the workplace, stating who does what, when and how
- Reporting workplace accidents, occupational diseases and dangerous occurrences
- Clearly stating the organisation's commitment to health and safety
- Naming the person with continuous and effective responsibility for health and safety

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.1. Is the policy clearly displayed in the workplace?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

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

Instruction

*** Slips, trips and falls**

Select one

☐ Yes

☐ No

*** Manual handling**

Select one

☐ Yes

☐ No

*** Lone working**

Select one

☐ Yes

☐ No

*** Substances hazardous to health**

Select one

☐ Yes

☐ No

*** Access to vehicles and working at height**

Select one

☐ Yes

☐ No

*** Working around moving vehicles**

Select one

☐ Yes

☐ No

*** Reversing, manoeuvring and turning**

Select one

☐ Yes

☐ No

*** Coupling, uncoupling and towing trailers**

Select one

☐ Yes

☐ No

☐ NA

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

Instruction

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

*** Seat belts, speed, distraction and adverse weather**

Select one

☐ Yes

☐ No

*** In-vehicle communications**

Select one

☐ Yes

☐ No

*** Safe loading and load restraint**

Select one

☐ Yes

☐ No

*** Routing and scheduling**

Select one

☐ Yes

☐ No

*** Passenger safety**

Select one

☐ Yes

☐ No

*** Specialist operations**

Select one

☐ Yes

☐ No

☐ NA

*** Operational security and counter terrorism**

Select one

☐ Yes

☐ No

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

Select one

☐ Yes

☐ No

*** M8 Health and safety outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

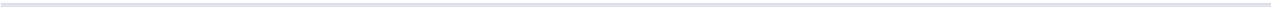
☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action



M9 Complaints

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- Complaints policy and procedures in place but does not include one or more criteria.
- No evidence of the system or documentation in place for complaints to be recorded.

A Major Action Point will be awarded for:

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

Audit questions

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 4.0

*** 4.0. Does the policy and supporting procedure documentation include information on:**

Select one

- Actions to be taken in the event of a complaint
- How consequences are dealt with
- Recording and investigating all complaints within 10 working days
- Recording investigation and improvement actions

☐ Yes

☐ No

If answer is No

Require Evidence

*** Are all complaints recorded in line with the requirements of the FORS Standard? Record the system and documents to be used to log details of investigation and corrective actions implementation.**

Select one

☐ Yes

☐ No

If answer is one of Yes

Require Evidence

*** Have there been any complaints raised since the last FORS Bronze audit?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 6.0, 6.1

*** 6.0. Have all complaints been investigated? Record details of the latest investigation record.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** 6.1. Have any identified corrective actions been implemented? Record details in support of this.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

*** M9 Complaints outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

M10 Transport infringements

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- Transport infringements policy and procedures in place but does not include one or more criteria.
- No evidence of transport-related infringements being recorded.

A Major Action Point will be awarded for:

- No evidence of transport-related infringements being investigated and corrective actions being implemented.
- Any minor action point from previous year's audit has not been rectified

Audit questions

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 4.0

*** 4.0. Does the policy and supporting procedure documentation include information on:**

Select one

- Compliance with transport related schemes
- Actions to be taken in the event of an infringement
- How consequences are dealt with
- Recording investigation and corrective actions

☐ Yes

☐ No

If answer is No

Require Evidence

*** Are all transport-related infringements recorded in line with the requirements of the FORS Standard? Record the system and documents to be used to log details of investigation and corrective actions implementation.**

Select one

☐ Yes

☐ No

If answer is one of Yes

Require Evidence

*** Have there been any transport-related infringements since the last FORS Bronze audit?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 6.0, 6.1

*** 6.0. Have all transport-related infringements been investigated? Record details of the latest investigation record.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** 6.1. Have any identified corrective actions been implemented? Record details in support of this.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

*** M10 Transport infringements outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

M11 Transport updates

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for :

Instruction

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

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Is the company a member of a trade association?**

Multiple choice

☐ Confederation of Passenger Transport - CPT

☐ Logistics UK

☐ Road Haulage Association - RHA

☐ Mineral Products Association - MPA

☐ British International Freight Association - BIFA

☐ National Courier Association - NCA

☐ Other

☐ No

If answer is Other

Answer Question(s) 2.0

*** 2.0. Details of the trade association(s):**

Text answer

*** Have communications on recent industry developments and changes been issued to drivers and other key transport staff? Record communication date(s), the topic(s) covered and detail the specific records that have been evidenced in support of this.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or NA

Require Evidence

*** M11 Transport updates outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is one of Minor Action Point or Major Action Point

Require Action

V1 Serviceability and roadworthiness

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- Roadworthiness policy and procedures in place but does not include one or more criteria.
- 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 awarded for:

- Inspection and maintenance plan not 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.
- Not all periodic safety inspections include a braking performance assessment.
- No evidence of pre-delivery or first use inspections being completed.
- No vehicle maintenance contract(s) in place for Operator Licensed fleet.
- 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the policy and supporting procedure documents include information on:**

Select one

- Effective management and supervisory responsibilities
- Systems for both planned and unplanned maintenance
- Maintenance to achieve optimum safety, environmental and performance standards
- Daily walkaround checks and defect reporting
- First use inspections, including leased, hired, or loaned vehicles
- How safety critical defects and prohibitions are managed and investigated
- How unroadworthy vehicles are removed from service (VOR procedure)

- How unroadworthy vehicles are brought back into service when passed fit (VOR procedure)
- How checks are completed on safety recalls that are likely to affect the safe operation of vehicles, trailers, and specialist equipment
- All inspections and maintenance meeting the requirements of the (DVSA) Guide to maintaining roadworthiness (if applicable)
- Managing agreed vehicle maintenance provisions to align with those specified on the Operator Licence, and dealing with late and missed safety inspections (if applicable)

- An inspection and maintenance plan being reviewed and updated when any vehicles, trailers or specialist equipment are changed
- Ensuring the roadworthiness of third-party trailers prior to use (if applicable)

☐ Yes

☐ No

If answer is No

Require Evidence

*** Is there evidence of vehicle, trailer and specialist equipment safety recalls being checked, actioned and records being retained? Record the specific records/documents that have been evidenced in support of this, such as the system reports or compliance checklists of the checks being completed.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Is there an inspection and maintenance plan in place?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 3.0, 3.1, 3.2

*** 3.0. Does the inspection and maintenance plan include all vehicles (HGVs, vans, PLVs) and trailers in scope of the FORS accreditation and at least six months' forecast?**

Select one

☐ Yes

☐ No

*** 3.1. Does the inspection and maintenance plan include, where relevant, a forecast of:**

Select one

- MOT and statutory annual tests
- Periodic safety inspections
- Calibration tests
- Lifting equipment (LOLER) examinations

☐ Yes

☐ No

If answer is No

Require Evidence

*** 3.2. Does the inspection and maintenance plan also include, where relevant, a forecast of:**

Select one

- Pre-delivery or first use inspections of the vehicle introduced to fleet for the first time
- Periodic brake performance assessments
- Maintenance and servicing
- Any remedial work required or repairs carried out

☐ Yes

☐ No

If answer is No

Require Evidence

*** Does the planned safety inspection frequency align with the one declared on the VOL system? Record the frequency for all types of Operator Licensed fleet.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes, No

Require Evidence

*** What vehicle maintenance provisions are in place?**

Multiple choice

☐ Conducted in-house

☐ Contracted out

☐ No provisions in place

If answer is Contracted out

Answer Question(s) 5.0, 5.1

*** 5.0. Are all vehicle maintenance contracts in place? Record the contractors and the date(s) contract(s) were signed.**

Select one

☐ Yes

☐ No

☐ NA

If answer is selected

Require Evidence

*** 5.1. Is the contracted out workshop staff undertaking safety inspections technically competent and operationally aware of the safety standards that apply to the type of fleet they examine?**

Select one

☐ Yes

☐ No

If answer is Conducted in-house

Answer Question(s) 5.2, 5.3, 5.4,
5.5

*** 5.2. Is the in-house workshop person undertaking safety inspections technically competent and operationally aware of the safety standards that apply to the type of fleet they examine?**

Select one

☐ Yes

☐ No

If answer is one of Yes

Require Evidence

5.3 - Is there documentation in place to evidence repair, servicing and calibration of the vehicle maintenance equipment?

Select one

☐ Yes

☐ No

5.4 - Is there a professional development plan or training matrix in place for technical maintenance staff to support current and future training?

Select one

☐ Yes

☐ No

*** 5.5. Did the operator declare that the in-house vehicle maintenance facilities and staff competence are sufficiently adequate to maintain the fleet?**

Select one

☐ Yes

☐ No

*** Do all maintenance provisions and providers align to those stated on the Operator Licence (VOL system)?**

Select one

☐ Yes

☐ No

☐ NA

*** Are third party trailers operated?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 7.0

*** 7.0. Is there evidence that the third-party trailers are safe to use and inspected at the agreed frequency? (ie operator has access to periodic safety inspection frequency and PMI, brake test, MOT records)**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

Vehicle records

Repeat section

*** VRM/VIN**

Text answer

*** What is the vehicle type?**

Select one

☐ PLV

☐ Car

☐ Van

☐ PCV

☐ HGV

☐ Wheeled plant

☐ Trailer

*** Vehicle description (GVW, body type)**

Text answer

*** Does the vehicle have a valid MOT or MOT exemption? Record the expiry date.**

Select one

- ☐ Yes
☐ No
☐ NA

If answer is selected

Require Evidence

*** Is there evidence of first use or pre-delivery safety inspection for when the vehicle was first introduced to the fleet? Record the date it has been completed.**

Select one

- ☐ Yes
☐ No
☐ NA

If answer is selected

Require Evidence

*** Are LOLER inspections up-to-date? Record the expiry date(s).**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes, No

Require Evidence

*** Is the tachograph unit calibration in date? Record the expiry date.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes, No

Require Evidence

*** What is the periodic safety inspections/servicing frequency for this vehicle/trailer?**

Text answer

*** Is the periodic safety inspection frequency being complied with for**

Select one

Operator Licensed fleet? Record the completion dates for the last four inspections.

☐ Yes

☐ No

☐ NA

If answer is selected

Require Evidence

*** Is the servicing frequency being complied with for non Operator Licence fleet? Record the completion dates for the last two service inspections.**

Select one

☐ Yes

☐ No

☐ NA

If answer is selected

Require Evidence

*** Are all periodic safety inspection, servicing and maintenance records compliant?**

Select one

☐ Yes

☐ No

*** Do all periodic safety inspections include a braking performance assessment? Record brake performance assessment method used and detail the specific records that have been evidenced in support of this.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

*** Are all records in place relating to vehicle safety inspections, defects and maintenance for the past 15 months or since the vehicle has been introduced to the fleet? Record the date of most historic record seen at the audit and the format in which it is held in.**

Text answer

*** V1 Serviceability and roadworthiness outcome**

Multiple choice

- ☐ Pass
- ☐ Minor Action Point
- ☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

V2 Daily walkaround checks

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- Daily walkaround procedure in place but does not include one or more criteria.
- Drivers expected to repair minor defects not being assessed for competency of this task.

A Major Action Point will be awarded 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 defects being identified, recorded, reported and repair procedure being followed through during the daily walkaround checks.
- No evidence of safety critical defects being rectified and signed off before the vehicle is being returned on the road.
- 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the procedure documentation includes information on:**

Select one

- The requirement to undertake walkaround checks by drivers before vehicles are used on the road each day, with a minimum of one check within each 24 hours
- Walkaround checks to include an inspection of the whole vehicle including enhanced vehicle safety features, and where relevant, trailer and specialist equipment
- Defects being reported and recorded when they are found during the daily walkaround check, while the vehicle is in use and on return to the operating centre

- Defects that affect roadworthiness or safety being repaired before the vehicle, trailer or specialist equipment is used on the road
- Drivers who are expected to repair minor defects, such as light bulb or fuse replacement being required to be competent to undertake this task
- If it is unsafe to conduct a walkaround check, defect reporting system being in place that details the initial walkaround check and any defects reported during the day for the various drivers of a particular vehicle
- Driver legal responsibilities regarding vehicle condition and reporting defects

☐ Yes

☐ No

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

If answer is Yes

Answer Question(s) 4.0, 4.1, 4.2, 4.3, 4.4, 4.5

*** 4.0. Does the walkaround check includes an inspection of the whole vehicle and trailer including enhanced vehicle safety features including:**

Select one

- Vehicle registration mark (or VIN for trailers)
- Date
- Driver name
- Details of defect or symptom
- Who the defect was reported to

☐ Yes

☐ No

If answer is No

Require Evidence

*** 4.1. Where relevant, does the walkaround check also covers any vehicle specific components:**

Select one

- Load and any load restraint systems
- Carrying equipment such as tanks, hoppers, mixers and refrigeration units
- Lifting equipment such as cranes, winches, skip loaders, tipping bodies and tail lifts
- Accessibility equipment such as ramps, lifts, rails and anchors
- Trailer couplings and service connections
- Charging cables or fuelling equipment for alternatively fuelled vehicles

☐ Yes

☐ No

☐ NA

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

☐ NA

Vehicle records

Repeat section

*** VRM/VIN**

Text answer

*** Date and details of the latest recorded defect or nil defect (if no defects were logged in the last 15 months)**

Text answer

*** Date and details of the rectification work having been signed-off?**

Text answer

*** 4.4. Is there evidence of defect reporting and repair procedure being followed through?**

Select one

☐ Yes

☐ No

*** 4.5. Is there evidence for safety critical defects being rectified and signed off before the vehicle is being returned on the road?**

Select one

☐ Yes

☐ No

*** Are all vehicle nil defects records in place covering the period of 14 weeks or until the next vehicle safety inspection? Record the date of most historic record seen at the audit and the format in which it is held in.**

Text answer

*** V2 Daily walkaround checks outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

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.

Instruction

Audit guidance

A Major Action Point will be awarded for:

Instruction

- 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?**

Select one

☐ Yes

☐ No

If answer is one of Yes

Answer Question(s) 1.0, 1.1, 1.2, 1.3

*** 1.0. Does it cover all drivers, vehicles, trailers, specialist equipment that are within the scope of FORS accreditation?**

Select one

☐ Yes

☐ No

*** 1.1. Does it cover all conditions of use that are within the scope of FORS accreditation?**

Select one

☐ Yes

☐ No

*** 1.2. Motor insurer**

Text answer

*** 1.3. Motor insurance expiry date**

Date/time

Enter Date:

___ ___ / ___ ___ / ___ ___ ___

Are the following insurances in place?

Instruction

*** Employers' liability insurance**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Answer Question(s) 3.0, 3.1

*** 3.0. Employers' liability insurer**

Text answer

*** 3.1. Employers' liability insurance expiry date**

Date/time

Enter Date:

___ ___ / ___ ___ / ___ ___ ___

*** Public liability insurance**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 4.0, 4.1

*** 4.0. Public liability insurer**

Text answer

*** 4.1. Public liability insurance expiry date**

Date/time

Enter Date:

___ ___ / ___ ___ / ___ ___ ___ ___

*** Goods in transit (GiT) insurance**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 5.0, 5.1

*** 5.0. GiT insurer**

Text answer

*** 5.1. GiT insurance expiry date**

Date/time

Enter Date:

____ / ____ / _____

*** V3 Insurance outcome**

Multiple choice

- ☐ Pass
- ☐ Major Action Point

If answer is Major Action Point

Require Action

V4 Vehicle tax

Requirement

To tax all vehicles operating on public roads.

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- Vehicle tax procedure in place but does not include one or more criteria.
- Vehicle tax register or planner in place but does not include one or more criteria.

Instruction

A Major Action Point will be awarded 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.

Audit questions

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 4.0

*** 4.0. Does the procedure document include information on:**

Select one

- Vehicle tax and vehicle tax exemptions being in place for all vehicles in scope of the FORS accreditation
- Any untaxed vehicles being declared as unroadworthy and reported to the licensing or tax authority – Statutory Off Road Notification (SORN) in the UK
- Vehicle tax register or planner being in place, with reminders or warnings from a licensing or tax authority not being relied on as the only means of renewal planning

☐ Yes

☐ No

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 5.0

*** 5.0. Does the register or the planner include:**

Select one

- Tax expiry dates

- Tax payments

- Tax exemptions (where relevant)

☐ Yes

☐ No

If answer is No

Require Evidence

*** Has evidence been provided that all vehicles have been taxed, exemptions applied or declared SORN? Record details for a full sample in support of this by capturing vehicle reg number and VED/VED exemption expiry date.**

Select one

☐ Yes

☐ No

If answer is selected

Require Evidence

*** V4 Vehicle tax outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

[] Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

V5 Load safety

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- Load safety policy and procedures in place but does not include one or more criteria.
- Load documentation in place but does not include one or more criteria.

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the policy and supporting procedure documents include information on:**

Select one

- Correct vehicle and trailer types for the load to be carried
- The load types to be carried by each vehicle and trailer type
- Load restraint and safe loading and unloading practices
- Compliance with load documentation such as risk assessments and method statements
- Safe coupling of trailers to towing vehicles (if applicable)
- Information on the location and use of weighbridges

- The method used to monitor compliance with maximum weights and dimensions

☐ Yes

☐ No

If answer is No

Require Evidence

*** Is there a load documentation in place?**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Answer Question(s) 2.0

*** 2.0. Does the load documentation include:**

Select one

- Vehicle gross and axle weight limits

- Nature of the load

- Load weight and dimensions

- Loading and unloading instructions

- Load distribution

- Load restraint

- Use of lifting equipment (where relevant)

-Any other special precautions that are necessary (where relevant)

☐ Yes

☐ No

If answer is No

Require Evidence

If answer is NA

Require Evidence

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

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

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

Select one

☐ Yes

☐ No

*** Has evidence been provided of the drivers and any loading staff being trained on safe loading, distribution and load restraint? Record a sample of training date(s) and detail the specific records that have been evidenced in support of this.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** 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?**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or NA

Require Evidence

*** V5 Load safety outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

V6 Vehicle safety equipment

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- All required safety equipment has been fitted but non-compliance with the equipment found.

Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1, 1.2, 1.3, 1.4, 1.5

*** 1.0. Are any HGVs defined as exempt from being required to be fitted with side under-run protection to both sides?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0.0, 1.0.1

*** 1.0.0. Details of the exemption(s) provided**

Text answer

*** 1.0.1. Number of vehicles subject to the exemption(s)**

Number

If answer is Yes

Require Evidence

*** 1.1. Have all HGVs not subject to the exemption been fitted with side under-run protection to both sides?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.1.0

*** 1.1.0. What evidence has been provided?**

Multiple choice

☐ A vehicle safety equipment report

☐ Permit scheme record or register

☐ Photographs of safety equipment fitted

☐ Invoices from safety equipment suppliers

☐ Vehicle observed in the yard

*** 1.2. Are there any HGVs defined as exempt from being required to be fitted with class V and VI close-proximity mirrors or camera monitoring systems to achieve the same field of view?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.2.0, 1.2.1

*** 1.2.0. Details of the exemption(s) provided**

Text answer

*** 1.2.1. Number of vehicles subject to the exemption(s)**

Number

*** 1.3. Have all HGVs not subject to the exemption been fitted with class V and VI close-proximity mirrors or camera monitoring systems?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.3.0

*** 1.3.0. What evidence has been provided?**

Multiple choice

☐ A vehicle safety equipment report

☐ Permit scheme record or register

☐ Photographs of safety equipment fitted

☐ Invoices from safety equipment suppliers

☐ Vehicle observed in the yard

*** 1.4. Have all HGVs and PCVs designed to carry more than 16 passengers been fitted with blind spot signage?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.4.0

*** 1.4.0. What evidence has been provided?**

Multiple choice

- ☐ A vehicle safety equipment report
 - ☐ Permit scheme record or register
 - ☐ Photographs of safety equipment fitted
 - ☐ Invoices from safety equipment suppliers
 - ☐ Vehicle observed in the yard
-

*** 1.5. Is all safety equipment fitted compliant?**

Select one

- ☐ Yes
 - ☐ No
-

*** V6 Vehicle safety equipment outcome**

Multiple choice

- ☐ Pass
 - ☐ Minor Action Point
 - ☐ Major Action Point
-

If answer is one of Minor Action Point or Major Action Point

Require Action

V7 Tyre management

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- Tyre management policy and procedures in place but does not include one or more criteria.
- No documentation in place of the in-house tyre maintenance equipment maintenance and engineering resources competence.

A Major Action Point will be awarded for:

- 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 maintenance records being reviewed, retained and quality of work monitored.
- No evidence of tyre torque and re-torque checks being completed, recorded and retained following a reactive or ad hoc wheel refitting events outside of planned periodic maintenance (HGVs & PCVs).
- 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1

*** 1.0. Does the policy and supporting procedure documents include information on:**

Select one

- Tyres in service being appropriate to the vehicle and operating conditions
- Tyre condition being fully examined for damage, wear, age and pressures and all defects reported at periodic safety inspections
- Tyre condition being visually checked for damage, wear and pressures and all defects reported as part of the daily walkaround checks

- Staff dealing with tyre management being properly trained and empowered to act with sufficient authority
- Drivers being properly trained and equipped to recognise and report tyre issues
- Wheel torque and retorque being completed following wheel refitting, and records being retained on file
- Tyre recycling and disposal being conducted in accordance with local waste regulations, and any on-site tyres being properly stored
- Tyre reports being reviewed and retained, and the quality of any contracted work being monitored

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.1. Does the policy and supporting procedure documents include, where relevant, information on:**

Select one

- Tyre age being recorded and monitored for the entire fleet and tyres aged more than 10 years old not being used on the front steered axle(s) of HGV, bus or coach or any single wheels fitted to a minibus (9 to 16 passenger seats)
- Tyre manufacture date code being legible and present on all tyres fitted to HGV, bus coach, trailers over 3.5t and minibuses (9 to 16 passenger seats)
- Technicians dealing with tyre inspections or repairs being properly trained and qualified

☐ Yes

☐ No

☐ NA

If answer is one of No or NA

Require Evidence

*** Is tyre recycling and disposal conducted in accordance with local waste regulations? Record details of specific records or documentation that have been evidenced in support of this.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Are torque and re-torque checks required to be completed, recorded, and retained on file following a reactive or ad hoc wheel refitting events outside of planned periodic maintenance for HGVs and PCVs? Record details for a sample in support of this by capturing vehicle reg, wheel position, initial torque date/time, re-torque date/time and reason for refitting.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

If answer is Yes

Answer Question(s) 5.0

5.0 - Is re-torque completed after the vehicle has been standing for 30 minutes or after having travelled for between 40 km and 80 km (25 to 50 miles)?

Select one

☐ Yes

☐ No

*** Tyre maintenance provision in place**

Multiple choice

☐ Conducted in-house

☐ Contracted out

☐ No provisions in place

If answer is Conducted in-house

Answer Question(s) 6.0

*** 6.0. Is there documentation in place to evidence repair, servicing or calibration of the tyre maintenance equipment and competence held by all tyre maintenance staff?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

If answer is Contracted out

Answer Question(s) 6.1, 6.2

*** 6.1. Name of the main contractor**

Text answer

*** 6.2. Type of arrangements in place (i.e., contract, account, ad hoc)**

Text answer

*** Are tyre maintenance records being reviewed, retained and quality of work monitored?**

Select one

☐ Yes

☐ No

If answer is one of Yes

Require Evidence

*** V7 Tyre management outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

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.

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- No approved risk scale being used for higher risk drivers

Instruction

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

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

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

If answer is Yes

Answer Question(s) 2.0, 2.1, 2.2,
2.3

*** 2.0. For drivers licensed in GB, is this conducted through a service that directly accesses the current DVLA data?**

Select one

☐ Yes

☐ No

*** 2.1. Does the system include the validation of categories, expiry dates, endorsements and restrictions?**

Select one

☐ Yes

☐ No

*** 2.2. Does the system include the validation of Driver Qualification Cards and Driver Tachograph Cards?**

Select one

☐ Yes

☐ No

☐ NA

*** 2.3. Are there any drivers that are not licensed through DVLA?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 2.3.0

*** 2.3.0. Are licences verified through an equivalent licensing authority where such a service is available?**

Select one

☐ Yes

☐ No

Driver records

Repeat section

*** Driver initials**

Text answer

*** Has the driver licence been checked every 6 months? Record the dates of the latest two checks and the number of endorsement points on the licence.**

Select one

☐ Yes

☐ No

If answer is selected

Require Evidence

*** Is the Driver Qualification Card 'DQC' - Driver CPC in date? Record the expiry date.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or No

Require Evidence

*** Is the Driver Tacho Card in date? Record the expiry date.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or No

Require Evidence

*** Are driving licences checked more frequently for higher risk drivers using an approved risk scale? Record details for a sample in support of this by capturing driver initials, dates of the latest two checks and the number of endorsement points.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Have drivers signed a declaration in the past 12 months of their responsibility to report any licence endorsements, driving infringements and restrictions to the responsible person, whether incurred on or off duty? Record the completion date and the format in which the records have been evidenced.**

Select one

☐ Yes

☐ No

If answer is selected

Require Evidence

*** D1 Licensing outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Major Action Point

Require Action

If answer is Minor Action Point

Require Action

D2 Driving standards

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- Driving standards policy and procedures being in place but does not include one or more criteria

Instruction

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the policy, procedure and risk assessments documentation include information on:**

Select one

- Driver responsibilities and professionalism
- Wearing seat belts where fitted and required
- Adherence to speed limits, traffic signs and road markings
- Distractions such as smoking, eating and drinking whilst driving
- Sharing the roads safely, particularly with vulnerable road users
- Fuel efficient driving techniques, air quality and emissions
- Driving on different road types such as urban, rural and motorways
- Driving in adverse weather conditions

**- Actions in the event of a
breakdown and road traffic collision**

☐ Yes

☐ No

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

*** Have all drivers signed a declaration acknowledging that they have access to, and read and understood the latest version driving standard policy in the past 12 months? Record details for a sample in support of this by capturing driver initials, the date of completion and detail the specific records that have been evidenced, e.g., signed hard copy declarations, read receipts of a system that captures a digital footprint.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Have all drivers signed a declaration acknowledging that they have access to, and read and understood the current version of The Highway Code in the past 12 months? Record details for a sample in support of this by capturing driver initials, the date of completion and detail the specific records that have been evidenced, e.g., signed hard copy declarations, read receipts of a system that captures a digital footprint.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Is there a driver incentive scheme in place?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 5.0

*** 5.0. Does the incentive scheme promote and encourage legal, safe and professional behaviour?**

Select one

☐ Yes

☐ No

If answer is one of Yes or No

Require Evidence

*** D2 Driving standards outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

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.

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- Induction declaration(s) not being made
- Induction records missing one or more additional checklist criteria

Instruction

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

☐ NA

If answer is NA

Require Evidence

If answer is Yes

<trigger not defined>

*** Do the induction records cover all of the following safety critical criteria:**

Select one

- 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

☐ Yes

☐ No

If answer is No

Require Evidence

*** Do the induction records include the following additional criteria:**

Select one

- 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)

☐ Yes

☐ No

If answer is No

Require Evidence

*** Have all drivers been inducted to the operation? Record details for a sample in support of this by capturing driver initials, the date of completion and detail the specific records that have been evidenced.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

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

Instruction

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

Select one

☐ Yes

☐ No

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

Select one

☐ Yes

☐ No

*** D3 Staff induction outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

D4 Professional development

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

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

Instruction

A Major Action Point will be awarded for:

- No PDP(s) in place
- Mandatory FORS Professional Development requirements not being managed and completed as set out at Annex 1.
- 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1

*** 1.0. Do PDPs include:**

Select one

- 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

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.1. Are PDPs:**

Select one

- 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

☐ Yes

☐ No

If answer is No

Require Evidence

*** Have all drivers completed FORS Professional Development training as set out at Annex 1 (for drivers and riders)? Record details for a full sample in support of this by capturing driver initials and dates of completion.**

Select one

☐ Yes

☐ No

If answer is selected

Answer Question(s) 4.0, 4.1

*** 4.0. WRRR (safety) eLearning or classroom training (Safe Driving)**

Text answer

*** 4.1. Counter terrorism eLearning**

Text answer

*** D4 Professional development outcome**

Multiple choice

- ☐ Pass
- ☐ Minor Action Point
- ☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

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.

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- In-vehicle communications policy and procedures being in place but does not include one or more criteria

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1

*** 1.0. Does the policy, procedure and risk assessments documentation includes information on:**

Select one

- Unlawful use of hand-held mobile phones and hand-held communication devices
- The responsibilities of office staff making and receiving calls to and from drivers, including ending a call if they suspect the driver is driving

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.1. Does the policy documentation allow the use of hands-free mobile phones, interactive communication devices or headphones?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.1.0

*** 1.1.0. Does the policy, procedure and risk assessments documentation include the following:**

Select one

- Conditions of use for hands-free mobile phones and communication devices
- Sending and receiving work-related calls, messages and data safely
- Any restrictions on making and receiving personal calls
- Any device being fully hands-free when used whilst driving
- Safe stowage of the device so as not to limit field of view or cause distraction
- Any messages being limited to a basic level and for a minimum duration
- The responsibility to remain in full control of the vehicle and the risk of distraction from driving

☐ Yes

☐ No

If answer is No

Require Evidence

*** D5 In-vehicle communication outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is one of Minor Action Point or Major Action Point

Require Action

D6 Health and eyesight

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- Health and eyesight policy and procedures being in place but does not include one or more criteria
- Eyesight check records do not include information on the person supervising the checks and/or follow up actions

Instruction

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the policy and supporting procedure documentation include information on:**

Select one

- Minimum medical standards for driving
- Illness and prescribed and over-the- counter medication
- Impairment through drugs and alcohol
- Fatigue-related illnesses such as sleep apnoea
- Health effects of driving such as posture and in-cab air quality
- Mental health problems such as stress, depression and anxiety
- A driver health and fitness declaration
- Minimum vision standards for driving and the use of glasses and contact lenses
- Driver eyesight checks and tests
- Actions to be taken on suspecting driver impairment through

drugs or alcohol

☐ Yes

☐ No

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 2.0, 2.1, 2.2, 2.3

2.0 - Does it include recording the following information:

Instruction

*** 2.1. Driver's name, date and outcome of the check**

Select one

☐ Yes

☐ No

*** 2.2. Name of the person supervising the check and details of any follow-on actions**

Select one

☐ Yes

☐ No

*** 2.3. Have all drivers has an eyesight checks conducted every 6 months and after a blameworthy road traffic collision? Record details for a full sample in support of this by capturing driver initials and the dates of last two checks.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Have all drivers signed a declaration in the last 12 months of their responsibility to report any health or eyesight condition and to inform the DVLA or relevant driving licence authority of reportable medical conditions? Record details for a sample in support of this by capturing driver initials, the date of completion and detail the specific records that have been evidenced.**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** D6 Health and eyesight outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

D7 Working time and drivers' hours

Requirement

To manage drivers' working time and driving hours.

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- Drivers hours and working time policy and procedures being in place but does not include one or more criteria

Instruction

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1

*** 1.0. Does the policy and supporting procedure documentation include information on:**

Select one

- Compliance with the relevant drivers' hours and working time regulations
- Planning daily and weekly work schedules and rest breaks to minimise fatigue
- How the risks associated with long journeys and night driving are managed
- How total working and driving time is monitored and enforced
- The requirement to report any fatigue or sleep-related issues
- The drivers' hours recording method
- The frequency of downloading vehicle unit and driver card data
- Identifying and dealing with missing mileage and unknown event

reports

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.1. Does the policy and supporting procedure documentation include, where relevant, information on:**

- The drivers' hours recording method
- The frequency of downloading vehicle unit and driver card data
- Identifying and dealing with missing mileage and unknown event reports
- Monitoring and managing driver and company tachograph card expiry dates
- Dealing with lost or defective tachograph cards
- Identifying and dealing with driver infringements to prevent recurrence
- Secondary employment and impact it has on working time and drivers' hours

Select one

☐ Yes

☐ No

☐ NA

If answer is one of No

Require Evidence

*** Is there a system in place for the relevant drivers' hours data being obtained, processed, analysed and the records being retained?**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or NA

Require Evidence

*** Are drivers' hours records held for 12 months or since the start of employment? Record the date of the most historic record seen at the audit.**

Text answer

*** Is there a system in place for the relevant working time data being obtained, processed, analysed and the records being retained? Record information for both vocational and non-vocational drivers.**

Select one

☐ Yes

☐ No

If answer is one of Yes

Require Evidence

*** Are working time records held for 24 months or since the start of employment? Record the date of the most historic record seen at the audit.**

Text answer

*** Have all drivers' driver card data been downloaded in the last 28 days? Record details for a sample in support of this by capturing driver initials and the date of the latest download.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or No

Require Evidence

*** Have all drivers' hours and working time infringements been investigated? Record details for a sample in support of this by capturing driver initials, the date and details of infringement and corrective actions recorded and implemented.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes, No

Require Evidence

*** Is there a system in place for the relevant vehicle unit data being obtained, processed, analysed and the records being retained?**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes

Require Evidence

*** Have all vehicles' Vehicle Unit tachograph data been downloaded at least every 90 days? Record details for a sample in support of this by capturing vehicle registration number and the date of the latest download.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

*** Are missing mileage reports being monitored, investigated and justified? Record details for a sample in support of this by capturing vehicle registration number, the date and distance travelled and any justification recorded.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

*** Is the company tachograph card in date? Record expiry date.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or No

Require Evidence

*** D7 Working time and drivers' hours outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

O1 Routing

Requirement

To adhere to compliant, safe and efficient routes.

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- 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 awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1

*** 1.0. Does the risk assessment, method statement or procedure include:**

Select one

- 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

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.1. 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

Select one

☐ Yes

☐ No

☐ NA

If answer is NA

Require Evidence

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

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Are routes planned considering any load constraints in accordance with requirement V5?**

Select one

☐ Yes

☐ No

*** O1 Routing outcome**

Multiple choice

- ☐ Pass
- ☐ Minor Action Point
- ☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

O2 Emissions, air quality and environmental impact

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- Environmental impact policy and procedures being in place but does not include one or more criteria
- 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 awarded 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
- Any minor action point from previous year's audit has not been 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the policy and supporting procedure documentation include information on:**

Select one

- The appointment of Fuel and Emissions Champion role
- Compliance with environmental regulations and standards
- Vehicle and fuel type selection and suitability
- Minimising and eliminating engine-idling in accordance with relevant regulations
- Collecting and monitoring fuel usage data by VRM
- Collecting and monitoring AdBlue usage by VRM, and diesel to AdBlue ratio (where relevant)

- Minimising and managing fuel spillages
- Basic due diligence being conducted that any low carbon fuels used are
reputably sourced

☐ Yes

☐ No

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

If answer is one of Yes

Require Evidence

*** Are there records in place for AdBlue usage data being collected and monitored by VRM?**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or NA

Require Evidence

*** Are there records in place for diesel to AdBlue ratio being collected and monitored by VRM? Record the ratio and the reference period it relates to for any one randomly selected VRM.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

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

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes

Require Evidence

*** O2 Environmental Impact outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

O3 Road traffic collisions

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- Road traffic collisions policy and procedures in place but does not include one or more criteria.

Instruction

A Major Action Point will be awarded for:

- Road traffic collisions, incidents and near-misses not being recorded and investigated.
- 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the policy and supporting procedure documentation include information on:**

Select one

- The appointment of Road Risk Champion role
- Managing incidents safely, legally and reporting to the relevant authorities
- Effective management of road risk stating who does what, when and how
- Collating incident facts accurately, recording correctly and reporting to the insurer
- Repairing vehicles to a safe and legal state prior to being returned to the road
- Assessing drivers to ensure they are competent and fit to return to driving

- Incidents being investigated to determine primary and contributory factors
- Incident facts being monitored to determine and implement remedial actions

☐ Yes

☐ No

If answer is No

Require Evidence

*** Are all road traffic collisions, incidents and near-misses recorded and investigated in line with the requirements of the FORS Standard? Record the system and documents used to log details of investigation, corrective actions implementation, vehicle and driver assessment.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes or NA

Require Evidence

*** Have there been any road traffic collisions since the last FORS Bronze audit?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 3.0, 3.1

*** 3.0. Have vehicles involved been repaired to a safe and legal state prior to being returned to the road?**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Answer Question(s) 3.0.0, 3.0.1

*** 3.0.0. Date and details of the latest damage assessment report completed.**

Text answer

*** 3.0.1. Date and details of the vehicle being signed off as repaired and deemed roadworthy.**

Text answer

*** 3.1. Have drivers involved been assessed for wellbeing and competency?**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes

Answer Question(s) 3.1.0, 3.1.1

*** 3.1.0. Date and details of the latest driver competency assessment report completed.**

Text answer

*** 3.1.1. Date and details of the latest driver wellbeing assessment completed (including eyesight check where relevant).**

Text answer

*** O3 Road traffic collisions outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

O4 Passenger safety

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

- Passenger safety policy in place but does not include one or more criteria.

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Is there passenger safety policy documentation in place to covers each particular vehicle type?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0.0

*** 1.0.0. Does the policy and risk assessments documentation include information on:**

Select one

- Maximum permitted number of passengers
- Passenger embarkation and disembarkation

- Special considerations when carrying children, the disabled and elderly (where applicable)
- Passenger safety instructions, including vehicle access, wearing seat belts and not distracting the driver
- Safe parking procedures
- Evacuation and emergency procedures
- Actions to take in passenger conflict situations

☐ Yes

☐ No

If answer is No

Require Evidence

If answer is No

Require Evidence

*** Are vehicles accessible to disabled people?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 3.0

*** 3.0. Does the passenger safety documentation include instructions to the driver on:**

Select one

- Gangways and emergency exits not being obstructed
- Restraint systems being safely stowed when not in use
- Wheelchairs being secured in the vehicle
- Instructions on securing and releasing accessibility restraint being readily visible to wheelchair passengers
- All on-board instruction notices to passengers being clearly visible and clean
- Serviceability of emergency equipment, such as first aid kit and fire extinguisher

☐ Yes

☐ No

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 4.0

*** 4.0. Are staff vetted as a pre-employment check through the Disclosure and Barring Service (DBS)?**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Answer Question(s) 4.0.0

*** 4.0.0. Are DBS checks conducted every three years?**

Select one

☐ Yes

☐ No

*** O4 Passenger safety outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

O5 Specialist operations

Requirement

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

Instruction

Audit questions

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

Multiple choice

- ☐ Dangerous goods
- ☐ Upper-tier waste and hazardous waste operations
- ☐ Abnormal indivisible loads (AIL)
- ☐ Longer semi-trailers
- ☐ No specialist operations

If answer is Dangerous goods

Answer Question(s) 1.0, 1.1, 1.2, 1.3, 1.4

Audit guidance

A Minor Action Point will be awarded for:

- Specialist operations policy and procedures being in place but does not include one or more criteria

Instruction

A Major Action Point will be awarded for:

- No qualified DGSA has been appointed, where required.
- Driver ADR training requirements not being met.
- Compliance with dangerous goods vehicle approval certification not being met.
- Any minor action point from previous year's audit has not been rectified

*** Is there policy and procedure documentation in place?**

Select one

- ☐ Yes
- ☐ No

If answer is Yes

Answer Question(s) 2.0

*** 2.0. Does the policy, procedure and risk assessments documentation include information on:**

Select one

- Dangerous goods vehicle approval certification
- Control measures relevant to the transportation of dangerous goods
- Dangerous goods documentation, consignment notes and data sheets
- Driver training and ADR (International Carriage of Dangerous Goods by Road) requirements
- Emergency actions and contact details

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.1. Is there a person with continuous and effective responsibility formally appointed, trained, experienced and, where necessary, qualified (ie DGSA)?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.1.0, 1.1.1, 1.1.2, 1.1.3

*** 1.1.0. The appointed person**

Text answer

*** 1.1.1. DGSA certificate number (if applicable)**

Text answer

*** 1.1.2. DGSA certificate expiry date (if applicable)**

Text answer

*** 1.1.3. DGSA's latest annual audit report completion date (if applicable)**

Text answer

*** 1.2. Is there evidence of compliance with driver ADR training requirements? Record details for a sample in support of this by capturing driver initials and their Driver ADR card expiry date.**

Select one

☐ Yes

☐ No

☐ NA

If answer is one of Yes

Require Evidence

*** 1.3. Is there evidence of compliance with dangerous goods vehicle approval certification? Record details for a sample in support of this by capturing vehicle registration number and specific records/documentation evidenced.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

*** 1.4. Is there evidence of compliance with dangerous goods**

Select one

documentation, consignment notes and data sheets? Record the specific records/documentation that were evidenced in support of this.

☐ Yes

☐ No

☐ NA

If answer is one of Yes or NA

Require Evidence

If answer is Upper-tier waste and hazardous waste operations

Answer Question(s) 1.5

Audit guidance

A Minor Action Point will be awarded for:

- Specialist operations policy and procedures being in place but does not include one or more criteria
- No trained appointed responsible waste management person

Instruction

A Major Action Point will be awarded for:

- Relevant waste transportation regulations not being complied with.
- Previous year audit minor action points not rectified.

*** Is there a policy in place for the carriage of waste?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 2.0

*** 2.0. Does the policy documentation include information on:**

Select one

- Waste carrier licensing
- Control measures relevant to the transportation of waste
- Waste transfer notes, consignment notes and data sheets
- Waste operations and driver competence
- Emergency actions and contact details

☐ Yes

☐ No

If answer is No

Require Evidence

*** Is there a person with continuous and effective responsibility formally appointed, trained, experienced and, where necessary, qualified (ie Waste carrier competence)?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Is there evidence of the relevant waste transportation regulations being complied with?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

If answer is Abnormal indivisible loads (AIL)

Answer Question(s) 1.6

Audit guidance

A Minor Action Point will be awarded for:

- Specialist operations policy and procedures being in place but does not include one or more criteria.
- No trained appointed responsible person.

Instruction

A Major Action Point will be awarded for:

- Relevant AIL regulations not being complied with.

- Previous year audit minor action points not rectified.

*** Is there policy documentation in place for the carriage of abnormal loads?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 2.0

*** 2.0. Does the policy, procedure and risk assessments documentation include information on:**

Select one

- Operating under the conditions of STGO or vehicle special order movements
- Notifying the police and the relevant highway and bridge authorities where required
- Compliance with all movement conditions relevant to the weight and dimensions of the vehicle and load
- The carriage of the vehicle movement approval with the load documentation
- The use of marker boards for over- width and over-length projections
- Abnormal indivisible load (AIL) driver competence

☐ Yes

☐ No

If answer is No

Require Evidence

*** Is there a person with continuous and effective responsibility formally appointed, trained, experienced and, where necessary, qualified (ie STGO competence)?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** Is there evidence of compliance with notifying the police and the relevant highway and bridge authorities where required? Record details for a sample in support of this by capturing vehicle registration number and specific records/documentation evidenced.**

Select one

☐ Yes

☐ No

☐ NA

If answer is No

Require Evidence

*** Is there evidence of compliance with all movement conditions relevant to the weight and dimensions of the vehicle and load? Record details for a sample in support of this by capturing vehicle registration number and specific records/documentation evidenced.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

*** Is there evidence of compliance with the carriage of the vehicle movement approval with the load documentation? Record details for a sample in support of this by capturing vehicle registration number and specific records/documentation evidenced.**

Select one

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

*** Is there evidence of compliance of the use of marker boards for**

Select one

over-width and over-length projections? Record details for a sample in support of this by capturing vehicle registration number and specific records/documentation evidenced.

☐ Yes

☐ No

☐ NA

If answer is Yes

Require Evidence

If answer is Longer semi-trailers

Answer Question(s) 1.7, 1.8, 1.9,
1.10

1.7 - A Minor Action Point will be awarded for:

Instruction

- Specialist operations policy and procedures being in place but does not include one or more criteria
- No trained appointed responsible person

A Major Action Point will be awarded for:

- No formal notification in place to operate LSTs
- Previous year audit minor action points not rectified

*** 1.8. Is there policy documentation in place for LST operations?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.8.0

*** 1.8.0. Does the policy, procedure and risk assessments documentation include information on:**

Select one

- Suitable and sufficient assessment of specified risk factors
- Planning and documenting routes, and communicating them to drivers
- Monitoring and investigating route diversions
- Driver training requirements and competence
- Adequate and consistent monitoring of the operation and record keeping

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.9. Is there a person with continuous and effective responsibility formally appointed, trained, experienced and, where necessary, qualified (ie LST competence)?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** 1.10. Is formal notification to operate LSTs annotated on the Operator Licence?**

Select one

☐ Yes

☐ No

*** O5 Specialist operations outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

O6 Security and counter terrorism

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- Security and counter terrorism policy and procedures in place but does not include one or more criteria.
- Risk assessments documentation in place but does not include one or more of the criteria.

Instruction

A Major Action Point will be awarded 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?**

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0, 1.1, 1.2

*** 1.0. Does the policy and supporting procedure documentation include information on:**

Select one

- The appointment of Security and Counter Terrorism Champion role
- Different threats that exist in terms of vehicle security and terrorism
- Security improvements and contingency plans that are needed
- Security measures to be complied with and reviewed
- Level of staff communications and awareness training required
- Management of security incidents and reporting procedure to the relevant authorities
- Security and control of vehicles, keys and operating centres
- Control of visitors and identification of vehicle overnight parking

facilities

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.1. Does the risk assessment documentation include:**

Select one

- Identifying suspicious behaviour or activity
- Dealing with bomb threats and suspect devices
- Safety and security of the vehicle and keys
- Security measures when stopping for breaks and rest
- Leaving a vehicle engine running for operational purposes
- Preventing hijack attempts through unauthorised passengers and hoax enforcement officers
- Reporting theft and suspicious activity
- The procedure to be taken upon discovery of a vehicle-borne improvised explosive device

☐ Yes

☐ No

If answer is No

Require Evidence

*** 1.2. Is there evidence of relevant security and control measures in place to safeguard against security and counter terrorism threats?**

Select one

☐ Yes

☐ No

If answer is Yes

Require Evidence

*** O6 Operational security outcome**

Multiple choice

- ☐ Pass
- ☐ Minor Action Point
- ☐ Major Action Point

If answer is one of Minor Action Point or Major Action Point

Require Action

M1 FORS Documentation

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

Instruction

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

A Major Action Point will be awarded 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?**

Text answer

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

Select one

- ☐ Yes
- ☐ 5 or more documents missing
- ☐ N/A
- ☐ 4 or less documents missing

If answer is one of 5 or more documents missing

Require Evidence

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

Select one

- ☐ Yes
- ☐ Incomplete version control
- ☐ No version control
- ☐ NA

If answer is one of Yes, Incomplete version control

Answer Question(s) 3.0, 3.1, 3.2, 3.3, 3.4

3.0 - What is the latest FORS documentation:

Instruction

*** 3.1. Most recent review date(s)**

Text answer

*** 3.2. Reviewer**

Text answer

*** 3.3. Version number(s)**

Text answer

*** 3.4. Reference number(s) or locations**

Text answer

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

Select one

☐ Yes

☐ 5 or more documents not reviewed

☐ N/A

If answer is 5 or more documents not reviewed

Require Evidence

*** M1 FORS Documentation outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

M2 Records

Requirement

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

Instruction

Audit guidance

A Minor Action Point will be awarded for:

- Records management procedure being in place but does not include one or more criteria

Instruction

A Major Action Point will be awarded 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

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

Select one

☐ Yes

☐ No

If answer is Yes

Answer Question(s) 1.0

*** 1.0. Does the procedure document include:**

Select one

- Accessibility, legibility and availability of records
- Retaining drivers' hours records for 12 months (where relevant)
- Retaining working time records for 24 months
- Retaining statutory annual vehicle test records for 15 months (after their expiry date)
- Retaining vehicle nil defects records for 14 weeks
- Retaining vehicle safety inspections, defects and maintenance records for 15 months
- Retaining all other records relevant to the FORS Standard until the next audit

☐ Yes

☐ No

If answer is No

Require Evidence

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

Select one

☐ Yes

☐ No

*** M2 Records outcome**

Multiple choice

☐ Pass

☐ Minor Action Point

☐ Major Action Point

If answer is Minor Action Point

Require Action

If answer is Major Action Point

Require Action

Audit outcome

* Audit completion time

Date/time

Enter Date and Time:

___ ___ / ___ ___ / ___ ___

___ ___ : ___ ___ AM / PM

* Total number of Major Action points

Number

If answer is greater than 15.00

Require Action

* Total number of Minor Action points

Number

* Audit overall grade

Select one

- ☐ Pass
- ☐ Pass with actions
- ☐ Fail

Template version control

Latest version - 28th July 2025 updates:

- Grading criteria for section V7 has been updated on tyre retorque requirements.
- Question has been removed under section V1 on brake test method compliance with the latest DVSA GTMR.

Instruction

Previous version - 4th July 2025 updates:

- The sample criteria has been updated.
- The questions and logic within the template have been updated.

Instruction

Previous version - 29th March 2025 updates:

- Type of response for each section's outcome question has been updated to allow multiple selections.

Instruction

Previous version - 28th March 2025 updates:

- The logic within the template has been reduced.
- Version control question and the grading has been removed from the individual sections.
- FORS audit guidance section has been updated with FORS documentation referencing section having been added.
- General review and updates under various sections.

Instruction

Previous version - 20th March 2025 updates:

- Vehicle and Driver record sections have been removed and all questions have been moved under the relevant requirements.

Instruction

Previous version - 28th Jan 2025 updates:

- OCRS question has been removed under M7
- N/A dropdown has been added under O2 section question on initiatives on engine-idling elimination
- Driver records section questions wording has been updated and date format has been replaced with a text box
- Vehicle records section questions wording has been updated and date format has been replaced with a text box
- Wheel torque and retorque question and grading has been updated to only apply to HGV and PCV fleet

Instruction

Previous version - 17th Jan 2025 updates:

- Template version control page added
- Version number added to the report footer notes
- Score section removed from being visible on the report for operators

Instruction

QA Approval

* Approver:

Select one

[] Members from selected site who are also in QA Lead Auditors

Audit Provider QA

Instruction

* Lead/Senior auditor name

Text answer

* Date QA completed

Date/time

Enter Date:

___ ___ / ___ ___ / ___ ___ ___

* QA findings summary

Text answer