



## FORS Bronze audit

Incomplete

**Actions**

0

Organisation details

**FORS ID**

**Company name**

**Operating centre name**

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

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

**What is the accreditation route?**

Address

**Address - Line 1**

**Address - Line 2**

**Town**

**Postcode**

**Country**

Point of contact

**Name**

**Job title**

Audit details

**Auditor name**

**Auditor number**

**Audit provider**

Unanswered

**Audit type**

**Audit level**

**Audit method**

**Audit date**

**Pre-audit**

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

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

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## FORS audit guidance

### The FORS Standard

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

### Terminology

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

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

### Related requirements

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

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

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

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

### Temporary vehicles and drivers

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

Temporary vehicles and drivers specifically include:

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

### Small operators

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

### Audit evidence

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

Add note - a free text report on key matters that support either conformity or non-conformity of a

requirement and its specific action point.

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

### Driver records sampling

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

1-3 drivers - all records

4-20 drivers - 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:

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.

### 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.

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.

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## Audit declarations

### Responsible person

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

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

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

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

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

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

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

### Operator statement

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

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

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

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

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### Auditor declarations

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

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

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## Audit scope

**Briefly describe the scope of operation**

Vehicles

**Number of PLVs**

**Number of cars**

**Number of vans**

**Number of HGVs**

**Number of wheeled plant**

**Number of PCVs**

Trailers

**Number of light vehicle trailers operated**

**Number of draw-bar trailers operated**

**Number of semi-trailers operated**

People

**Number of staff employed**

**Number of permanent and temporary drivers employed**

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

0  
From 0 to 100

### M3 Responsible person

#### Requirement

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

#### Audit guidance

A Minor Action Point will be awarded for:

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

A Major Action Point will be 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?**

### M3 Responsible person outcome

## M4 Staff resources

### Requirement

To provide adequate staff resources to run the fleet operation.

### Audit guidance

A Minor Action Point will be 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.

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?**

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

#### **Responsible person**

##### **Drivers**

##### **Other key transport staff**

**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.**

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

- 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.**

**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.**

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**M4 Staff resources outcome**

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## M5 Communication

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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?**

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

### M5 Communication outcome

## **M6 Vehicle fleet**

### **Requirement**

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

### **Audit guidance**

A Minor Action Point will be awarded for:

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

A Major Action Point will be 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.

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

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### **M6 Vehicle fleet outcome**

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## M7 Regulatory licensing

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for :

- 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?**

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

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

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

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

### M7 Regulatory licensing outcome

## M8 Health and safety

### Requirement

To maintain safe and healthy working conditions.

### Audit guidance

A Minor Action Point will be 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.

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?**

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

#### **Slips, trips and falls**

#### **Manual handling**

#### **Lone working**

#### **Substances hazardous to health**

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

#### **Working around moving vehicles**

#### **Reversing, manoeuvring and turning**

#### **Coupling, uncoupling and towing trailers**

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

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

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



**In-vehicle communications**

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**Safe loading and load restraint**

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**Routing and scheduling**

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**Passenger safety**

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**Specialist operations**

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**Operational security and counter terrorism**

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

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**M8 Health and safety outcome**

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## M9 Complaints

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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.

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

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**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.**

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

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**M9 Complaints outcome**

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## M10 Transport infringements

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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

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

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**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.**

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

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**M10 Transport infringements outcome**

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## M11 Transport updates

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for :

- 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?**

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

**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.**

### M11 Transport updates outcome

## V1 Serviceability and roadworthiness

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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?**

**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.**

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

**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.**

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

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

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**Are third party trailers operated?**

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**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.**

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**V1 Serviceability and roadworthiness outcome**

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## V2 Daily walkaround checks

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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 include 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?**

**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.**

**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.**

### V2 Daily walkaround checks outcome

## V3 Insurance

### Requirement

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

### Audit guidance

A Major Action Point will be awarded for:

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

### Audit questions

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

Are the following insurances in place?

**Employers' liability insurance**

**Public liability insurance**

**Goods in transit (GiT) insurance**

**V3 Insurance outcome**



## V4 Vehicle tax

### Requirement

To tax all vehicles operating on public roads.

### Audit guidance

A Minor Action Point will be 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.

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.

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

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

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**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.**

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## V4 Vehicle tax outcome

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## V5 Load safety

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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?**

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

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

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

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

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

### V5 Load safety outcome

## V6 Vehicle safety equipment

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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?**

### V6 Vehicle safety equipment outcome

## V7 Tyre management

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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?**

**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.**

**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.**

**Tyre maintenance provision in place**

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

**V7 Tyre management outcome**

## D1 Licensing

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- No approved risk scale being used for higher risk drivers

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?**

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

**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.**

**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.**

### D1 Licensing outcome

## D2 Driving standards

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

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

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?**

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

**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.**

**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.**

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

### D2 Driving standards outcome

### D3 Staff induction

#### Requirement

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

#### Audit guidance

A Minor Action Point will be awarded for:

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

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

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##### **Is there a staff induction procedure in place?**

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

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

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

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

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**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.**

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

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**Person responsible for conducting the induction, stating that the member of staff has been familiarised with the**

**organisation's policies and procedures**

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

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**D3 Staff induction outcome**

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## D4 Professional development

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

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

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?**

**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.**

### D4 Professional development outcome

## D5 In vehicle communication

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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?**

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### D5 In-vehicle communication outcome

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## D6 Health and eyesight

### Requirement

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

### Audit guidance

A Minor Action Point will be 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

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?**

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

**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.**

### D6 Health and eyesight outcome

## D7 Working time and drivers' hours

### Requirement

To manage drivers' working time and driving hours.

### Audit guidance

A Minor Action Point will be awarded for:

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

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?**

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

**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.**

**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.**

**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.**

**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.**

**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.**

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

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**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.**

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**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.**

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

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

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## O1 Routing

### Requirement

To adhere to compliant, safe and efficient routes.

### Audit guidance

A Minor Action Point will be awarded for:

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

A Major Action Point will be 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?**

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

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

### O1 Routing outcome

## O2 Emissions, air quality and environmental impact

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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?**

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

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

**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.**

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

### O2 Environmental Impact outcome

### O3 Road traffic collisions

#### Requirement

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

#### Audit guidance

A Minor Action Point will be awarded for:

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

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?**

**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.**

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

#### O3 Road traffic collisions outcome



## O4 Passenger safety

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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?**

**Are vehicles accessible to disabled people?**

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

### O4 Passenger safety outcome

**O5 Specialist operations**

Requirement

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

Audit questions

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

**O5 Specialist operations outcome**

## O6 Security and counter terrorism

### Requirement

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

### Audit guidance

A Minor Action Point will be 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.

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?**

## O6 Operational security outcome

## M1 FORS Documentation

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

- 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?**

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

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

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

### M1 FORS Documentation outcome

## M2 Records

### Requirement

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

### Audit guidance

A Minor Action Point will be awarded for:

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

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?**

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

### M2 Records outcome

**Audit outcome**

**Audit completion time**

**Total number of Major Action points**

**Total number of Minor Action points**

**Audit overall grade**

**QA Approval**

Audit Provider QA

**Lead/Senior auditor name**

**Date QA completed**

**QA findings summary**