Audit checklists

Bronze checklist

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

Code	Requirement	Audit notes	Outcome
M1	**FORS policies and procedures manual** Fleet operators shall document all policies and procedures covering all the mandatory requirements of the FORS Standard.		
M2	**Organisational structure and responsibilities** Fleet operators shall have a description of the responsibilities of, and links between, senior management and daily operations personnel		
M3	**Responsible person(s)** Fleet operators shall have a formally appointed, qualified (whe e necessary), trained and experienced person or team in place to run the transport operation and to maintain continuous and effective control.		
M4	**Regulatory licensing** Fleet operators shall hold all regulatory licences necessary for their operation (where applicable).		

Code	Requirement	Audit notes	Outcome
M5	**Communication** Fleet operators shall demonstrate that company policies and procedures are communicated to all staff.		
M6	**Document review** Fleet operators shall have their policies and procedures for the transport operation reviewed by senior management at least every 12 months. This shall include the FORS Standard requirements.		
M7	**Complaints** Fleet operators shall have a fully functioning complaints system that feeds into decision making and shall ensure that any complaint made against the company is reviewed and acted upon appropriately in order to prevent recurrence.		
M8	**Transport fines and charges** Fleet operators shall have a policy in place to investigate and analyse all transport related fines and charges received.		
M9	**Transport update** Fleet operators shall have a process for keeping up to date with developments in the fleet and road transport industry.		

Code	Requirement	Audit notes	Outcome
M10	**Information management** Fleet operators shall ensure that all legal and operational fleet information is adequately maintained and managed, particularly around driving standards.		
M11	**Tyre and fuel management** Fleet operators shall record and manage tyre wear, condition and disposal, and monitor and manage fuel consumption.		
V1	**Inspection and maintenance plan** Fleet operators shall have vehicle and equipment inspection and maintenance plan which maintains the record for servicing and repairs of vehicles and specialist equipment.		
V2	**Defect checks** Fleet operators shall ensure that vehicles are checked before the first use of that ehicle in a driver's shift.		
V3	**Insurance** Fleet operators shall hold a minimum of third party insurance or self-insurance for the whole fleet Requirments for other forms of insurance include employers' liability, public liability and goods in transit insurance.		
V4	**Vehicle excise duty and SORN** Fleet operators shall ensure that the appropriate Vehicle Excise Duty (VED) is paid for all applicable vehicles, and that a SORN declaration has been completed for roadworthy vehicles not beign used on public roads.		

Code	Requirement	Audit notes	Outcome
V5	**Safe loading and load restraints** Fleet operators shall ensure that vehicles are safely loaded, that appropriate load restraints are used and that vehicles are not overloaded.		
V6	**PCV safe loading and load security** Fleet operators shall ensure that vehicles are safely loaded, that luggage is distributed evenly across the axles, that on-board items are safety stowed and that vehicles are not overloaded.		
V7	**Vulnerable road user safety** Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight are fitted with sa ety equipment to help protect vulnerable road users.		
V8	**Personal safety in or around vehicles** Fleet operators shall risk-assess the potential for persons to fall from vehicles or trailers or subject themselves to risk through non-use of seatbelts on passenger vehicles, and limit the risk of unauthorised access to vehicles through proactive measures.		
V9	**Vehicle manoeuvring** Fleet operators shall risk-assess, mitigate and control (where appropriate) risks from vehicle manoeuvring including driving forward, turning, reversing, towing, uncoupling and parking.		

Code	Requirement	Audit notes	Outcome
D1	**Licensing and qualifications** Fleet operators shall ensure that licenses and qualifications of all dri ers (including agency drivers) are checked using a risk-based verification system that di ectly accesses the DVLA database. This shall be done prior to driving and then at least once every six months.		
D2	**Driving standards** Fleet operators shall require that anyone driving on business shall drive within the rules of the Highway Code (with the exception of when under specific di ection of the relevant police) and the company policy at all times, and pay particular attention to vulnerable road users.		
D3	**Induction training** Fleet operators shall, as part of the induction process, ensure that drivers and line managers complete appropriate training on all aspects of the business, focusing particularly on the health and safety of employees and vulnerable road users.		
D4	**Professional development** Fleet operators shall ensure that drivers and line managers undergo approved progressive training and continued professional development with particular attention to the safety of vulnerable road users.		

Code	Requirement	Audit notes	Outcome
D5	**In-cab technology** Fleet operators shall not cause or permit a driver to use a handheld mobile phone while driving, and where possible they shall restrict the use of any distractive in-cab technology while driving.		
D6	**Health and safety** Fleet operators shall ensure that driving risks and workplace transport safety are controlled via a working health and safety policy and that vehicle-specific health and sa ety advice is given to drivers.		
D7	**Driver fitness and health** Fleet operators shall be proactive towards managing driver fitness and health		
D8	**Drivers' hours and working time** Fleet operators shall have policies and procedures to manage both driver hours and total working time.		
D9	**Driver infractions** Fleet operators shall record and monitor all driving infractions and take remedial action to minimise future recurrence.		

Code	Requirement	Audit notes	Outcome
O1	**Routing and scheduling** Fleet operators shall ensure that the most safe, efficient and ppropriate vehicles are used, and that any vehicle routes to sites or premises are carefully selected and adhered to unless directed otherwise by a relevant authority.		
O2	**Specialist goods and abnormal loads** Fleet operators who transport hazardous waste, dangerous goods and / or abnormal loads shall have a written policy to ensure they are handled and transported in compliance with the appropriate regulations, and will appoint a qualified DGSA whe e necessary.		
O3	**Incidents and insurance** Fleet operators shall ensure that incidents, collisions and reported near-misses are documented, investigated and analysed, and that insurance claims are monitored, reviewed and acted upon.		
O4	**Engine idling** Fleet operators shall have a written policy and procedure to reduce instances of engine-idling.		
O5	**Vehicle / equipment theft and unauthorised access** Fleet operators shall reduce the risk of vehicle and equipment theft and limit the possibility of unauthorised or illegal access to vehicles.		

Silver checklist

Code	Requirement	Audit notes	Outcome
S1	**Maintain FORS Bronze** Fleet operators shall maintain their FORS Bronze accreditation. Please note that your Bronze accreditation shall have at least 30 calendar days' left before the expiry date at the time of submitting evidence for Silver approval.		
S2	**Operational improvement** Fleet operators shall demonstrate that senior management reviews and decisions result in the development of the business and that such changes themselves are reviewed.		
S3	**Audible warning systems** Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight are equipped with an audible means to warn other road users of a vehicle's left turn manoeuvre and reversing movement.		
S4	**Blind spot minimisation** Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight have front, side and rear blind spots eliminated or minimised as far as is practical / possible, through a combination of active and operational direct and indirect vision aids and driver audible alerts.		

Code	Requirement	Audit notes	Outcome
S5	**Vulnerable road user safety training** Fleet operators shall ensure that all drivers (including those exempt or not in scope of Driver Certificate of P ofessional Competence) undergo continuous approved training specifical y covering the safety of vulnerable road users.		
S6	**Performance data** Fleet operators shall baseline data and undertake active monitoring of the following performance indicators: ♦ Total fuel usage and by distances travelled ♦ Transport related CO_2 by distances travelled ♦ Transport related NO_x and Particulate Matter by distances travelled ♦ Total incident and collision data and costs involving personal injury, vehicle or property damage ♦ Total transport related fines and charge		
S7	**Fuel and emissions** Fleet operators shall appoint individual/s who are responsible for monitoring and managing fuel consumption and the emissions output of the vehicle flee		
S8	**Road risk** Fleet operators shall appoint individual/s who are responsible for the management of road risk within the business		

Gold checklist

Code	Requirement	Audit notes	Outcome
G1	**Maintain FORS Bronze and FORS Silver** Fleet operators shall maintain both their FORS Bronze and FORS Silver accreditation.		
G2	**Promoting the FORS Standard** Fleet operators shall provide evidence of actively promoting the FORS Standard to their supply chain.		
G3	**Published and updated case study** Fleet operators shall produce, publish and update a case study that describes the progression from FORS registration to the awarding and maintaining of Gold level membership. The case study also needs to demonstrate the improvements made against all FORS performance indicators		
G4	**Performance data** Fleet operators shall undertake active interventions against the FORS Silver baseline data in the following performance indicators: ♦ Total fuel usage and by distances travelled ♦ Transport related CO_2 by distances travelled ♦ Transport related NO_x and Particulate Matter by distances travelled ♦ Total incident and collision data and costs involving personal injury, vehicle or property damage ♦ Total transport related fines and charge		

Code	Requirement	Audit notes	Outcome
G5	**Driver health and fitness review** Fleet operators shall ensure that all professional drivers who drive a commercial vehicle for the company are subject to a comprehensive health and fitness eview		
G6	**Professional development** Fleet operators shall ensure that all operational staff within the organisation undergo approved progressive training and continued professional development. This shall be linked with G4 and S6 in order to determine how this training has improved operations for the better, and how this training could be improved on or changed in order to achieve the desired outcomes		
G7	**Strategy for recruiting new drivers** Fleet operators shall have a strategy and plan in place to engage in industry initiatives to encourage new drivers into the industry.		
G8	**Noise assessment** Fleet operators shall have in place a documented assessment that demonstrates measures taken to reduce noise pollution during driving, parking, loading or unloading, servicing or vehicle washing which is relevant to the vehicle type, load and sector.		
G9	**Modal shift and alternative vehicles** Fleet operators shall assess the opportunity to move part or all of their consignment from road to an alternative transport mode. Fleet operators shall also assess the opportunity to use electric or alternatively-fuelled or powered vehicles within the fleet		