

Annex 6 Audit checklists

AI Bronze checklist

Code	Requirement	Audit notes	Outcome
M1	FORS policies and procedures manual Fleet operators shall document all policies and processes covering all the mandatory requirements of the FORS standard.		
M2	Responsibilities and accountabilities Fleet operators shall have a description of the responsibilities and accountabilities of, and links between, senior management and daily operations personnel ² .		
M3	Responsible person Fleet operators shall have a formally appointed qualified trained and experienced person responsible for running the transport operation.		
M4	Regulatory licensing Fleet operators shall hold all regulatory licences necessary for their operation (where applicable).		

² These may be the same person

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M5	<p>Communication</p> <p>Fleet operators shall demonstrate that company policies and procedures are communicated to all staff.</p>		
M6	<p>Review</p> <p>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.</p>		
M7	<p>Change</p> <p>Fleet operators shall demonstrate that senior management reviews result in positive changes to the business and such changes themselves are reviewed.</p>		
M8	<p>Complaints</p> <p>Fleet operators shall have a fully functioning complaints system which feeds into decision making and shall ensure that any legal and non-legal action against the company is reviewed and reacted to in order to prevent recurrence.</p>		

Code	Requirement	Audit notes	Outcome
M9	<p>Resourcing</p> <p>Fleet operators shall ensure that sufficient qualified, trained and experienced staff are in place to run the operation.</p>		
M10	<p>Updates</p> <p>Fleet operators shall have a process for keeping up to date with developments in the industry.</p>		
V1	<p>Inspection and maintenance plan</p> <p>Fleet operators shall have an equipment inspection and maintenance plan which is carried out and recorded for all vehicles and specialist equipment.</p>		
V2	<p>Daily walk around check</p> <p>Fleet operators shall ensure that vehicles are checked before each shift.</p>		
V3	<p>Fuel and tyre usage</p> <p>Fleet operators shall record, monitor, and manage fuel and tyre usage.</p>		

Code	Requirement	Audit notes	Outcome
V4	Insurance Fleet operators shall hold a minimum of:		
V4.i	Third party insurance or self-insurance for the whole fleet		
V4.ii	Employers' liability insurance held for the business...		
V4.iii	Public liability insurance (where applicable)		
V4.iv	Goods in transit insurance (where applicable)		
V4.v	Any other relevant insurance specific to the actual operation (where applicable)		
V5	Vehicle Excise Duty Fleet operators shall ensure that the appropriate Vehicle Excise Duty (VED) is paid for all applicable vehicles.		
V6	Safe loading Fleet operators shall ensure that vehicles are safely loaded and that appropriate load restraints are used.		
V7	Vulnerable road user safety Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight are fitted with safety equipment to help protect vulnerable road users. kxcjhvkx	The auditee has confirmed that the organisation is compliant with all the requirements of V7	
V7.i	Prominent warning signage		
V7.ii	Side under-run protection		
V7.iii	Class V and VI mirrors		

Code	Requirement	Audit notes	Outcome
V8	<p>Working at height and the prevention of falls from vehicles</p> <p>Fleet operators shall risk-assess the potential for persons to fall off vehicles and for unauthorised access to vehicles and where appropriate take mitigating action.</p>		
V9	<p>Vehicle manoeuvring</p> <p>Fleet operators shall risk-assess, mitigate, and control where appropriate risks from vehicle manoeuvring including driving forward, reversing, towing, uncoupling, and parking.</p>		
D1	<p>Licensing and qualifications</p> <p>Fleet operators shall ensure that the licences and qualifications of all drivers (including agency drivers) are checked by a competent person prior to driving, and then at least every six months.</p>		
D2	<p>Driving standards</p> <p>Fleet operators shall require that anyone driving on business shall drive within the Highway Code and company policy at all times and pay particular regard to vulnerable road users.</p>		

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D3	<p>Staff training</p> <p>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.</p>		
D4	<p>In-vehicle technology</p> <p>Fleet operators shall not cause or permit a driver to use a mobile phone or other distractive in-vehicle technology while driving.</p>		
D5	<p>Health and safety</p> <p>Fleet operators shall ensure that road driving risks and workplace transport safety are controlled via a working health and safety policy and that vehicle-specific driver health and safety advice is given to drivers.</p>		
D6	<p>Driver fitness and health</p> <p>Fleet operators shall ensure that driver fitness and health is managed.</p>		
D7	<p>Drivers' hours and working time</p> <p>Fleet operators shall have policies and procedures to manage both drivers' hours and total working time for all (where applicable).</p>		

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D8	<p>Monitoring driving</p> <p>Fleet operators shall record and monitor all driving infractions, and take remedial action to minimise future recurrences.</p>		
O1	<p>Routing and scheduling</p> <p>Fleet operators shall ensure that the most efficient, safe, and appropriate vehicles and routes are used and that any vehicle routes to sites or premises are adhered to unless directed otherwise.</p>		
O2	<p>Specialist goods</p> <p>Fleet operators shall ensure that specialist goods such as waste, dangerous goods, and abnormal loads are handled and transported in compliance with the appropriate regulations.</p>		
O3	<p>Incidents and collisions</p> <p>Fleet operators shall ensure that incidents, traffic collisions and reported near-misses are recorded, investigated and analysed, implementing actions to address any lessons learned and identified trends. They shall also ensure that staff and vehicles are properly assessed before returning to the road.</p>		
O4	<p>Insurance claims</p> <p>Fleet operators shall ensure that insurance claims are reviewed and reacted to.</p>		
O5	<p>Record control</p> <p>Fleet operators shall ensure that all records are adequately retained and controlled, specifically including driving events.</p>		