

Fleet Operator Recognition Scheme Standard Rules and procedures

Version 4.1.i
18 April 2017

Summary of changes to this document between version 4.1 March 2017 and version 4.1.i April 2017

Item	Version 4.1	Version 4.1.i
2.1 Eligibility	Not included	Organisations may include cars, however, please note that if cars are included, then these will be included in the audit and car drivers will fall under the relevant training requirements
2.5.3 Follow-up audit	Not included	Please note that if you have 16 major action points or more, the company will need to undertake another full FORS Bronze on-site audit as opposed to a follow-up audit. This means that all requirements will be audited again. This audit will be charged as a full audit at the standard fee
3.4.2 How to gain FORS WFA	Not included	Please ensure that you apply for WFA 90 days prior to expiry of your Bronze accreditation to ensure there is sufficient time for the process to be completed
3.4.4 WFA Re-approval procedure	Not included	Your WFA shall be renewed every year regardless of your accreditation level. Please note that one of the witnessed audits undertaken each year as part of your WFA will count as a Bronze audit and you will be issued with a new Bronze certificate on an annual basis
3.4.6 ii WFA Witnessed Bronze audit	Not included	Please note that one of the witnessed audits undertaken each year as part of your WFA will count as a Bronze audit and you will be issued with a new Bronze certificate on an annual basis
3.4.5 f) WFA Audit requirement	Audits must be carried out at a minimum of 20 per cent of operating centres within scope of accreditation on an annual basis. Within a five year cycle, all operating centres within scope of accreditation shall be audited.	Audits must be carried out at a minimum of 20 per cent of current operating centres within scope of accreditation on an annual basis .

Please check the FORS website (www.fors-online.org.uk) to ensure that you are using the latest version of this document.

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I Introduction

I.1 How to use this guide

This guide has been produced to explain the rules and procedures involved in applying for and successfully achieving FORS accreditation.

FORS has been developed to suit different organisation types and structures across all industry sectors. Whether you want to achieve FORS accreditation across some or all of your organisation then there is a route to accreditation to meet your needs.

Detailed information is provided on the different FORS accreditation levels, the Bronze audit process and the different routes to accreditation.

The Rules and Procedures manual should be read in conjunction with the following documents:

- ◆ FORS Standard
- ◆ Guidance on demonstrating the requirements of the FORS Standard
- ◆ FORS Terms and Conditions

I.2 Terminology

Certain language is used within this document which has the following meanings:

- ◆ Shall – to indicate something which is mandatory as part of the requirement or in order to achieve the requirement
- ◆ Should – to indicate something which is recommended as emerging practice
- ◆ May – to indicate permission or an emerging best practice option

Fleet operators and auditors should check each requirement to the following general procedures:

- ◆ Considered - senior management should consider each requirement carefully in the context of their own business and ensure that sufficient human and material resources are available

- ◆ Written - requirements often involve some form of written documentation, and these may already exist and be acceptable to meet the requirements
- ◆ Communicated – company operations relating to these requirements should be communicated to the relevant parties within the business
- ◆ Implemented - requirements need to be in general use within the business
- ◆ Reviewed - should be regularly reviewed and action taken where necessary

I.3 Scheme administrator

The Fleet Operator Recognition Scheme is administered by the FORS Community Partnership (FCP). The FCP comprises

AECOM, the Chartered Institute of Logistics and Transport (CILT) and Fleet Source. For all enquiries please contact:

FORS
c/o AECOM
Sunley House
4 Bedford Park
Croydon
CR0 2AP

www.fors-online.org.uk

Email: enquiries@fors-online.org.uk

2 Guidance for fleet operators

The purpose of this section is to guide fleet operators in having their operations recognised under the Fleet Operator Recognition Scheme (FORS).

FORS is a method of recognising those fleet operations which comply with the requirements of the FORS Standard. The FORS Standard is based upon legal compliance, safety, efficiency and environmental protection. Fleet operators' operations are audited against the requirements of the FORS Standard by an approved FORS certification body; a list of such organisations is available on the scheme administrator website (www.fors-online.org.uk).

FORS accreditation does not remove or replace any legal obligations required of persons or businesses operating vehicles.

2.1 Eligibility and scope

The FORS Standard specifically addresses the legal requirements of operating vehicles commercially in the UK. Organisations are able to register if they operate any vehicle in the UK that is involved in the movement of materials, products, valuables, equipment, tools, waste, food, vehicles, luggage or people, which may include one or more of the following vehicles:

- ◆ Trucks
- ◆ Vans
- ◆ Buses
- ◆ Coaches
- ◆ Motorcycles and scooters

Organisations may include cars, however, please note that if cars are included, then these will be included in the audit and car drivers will fall under the relevant training requirements.

2.2 Overview of joining FORS

There are several methods of attaining FORS accreditation and the applicability of each method to your organisation is dependent on the number of operating centres you wish to include in the scope of accreditation.

Methods of attaining FORS accreditation are:

- ◆ Single Operating Centre Accreditation (SOCA)
- ◆ Multi-Operating Centre Accreditation (MOCA)
- ◆ Whole Fleet Accreditation (WFA)

The different routes to attaining FORS accreditation are discussed in more detail in section 3.

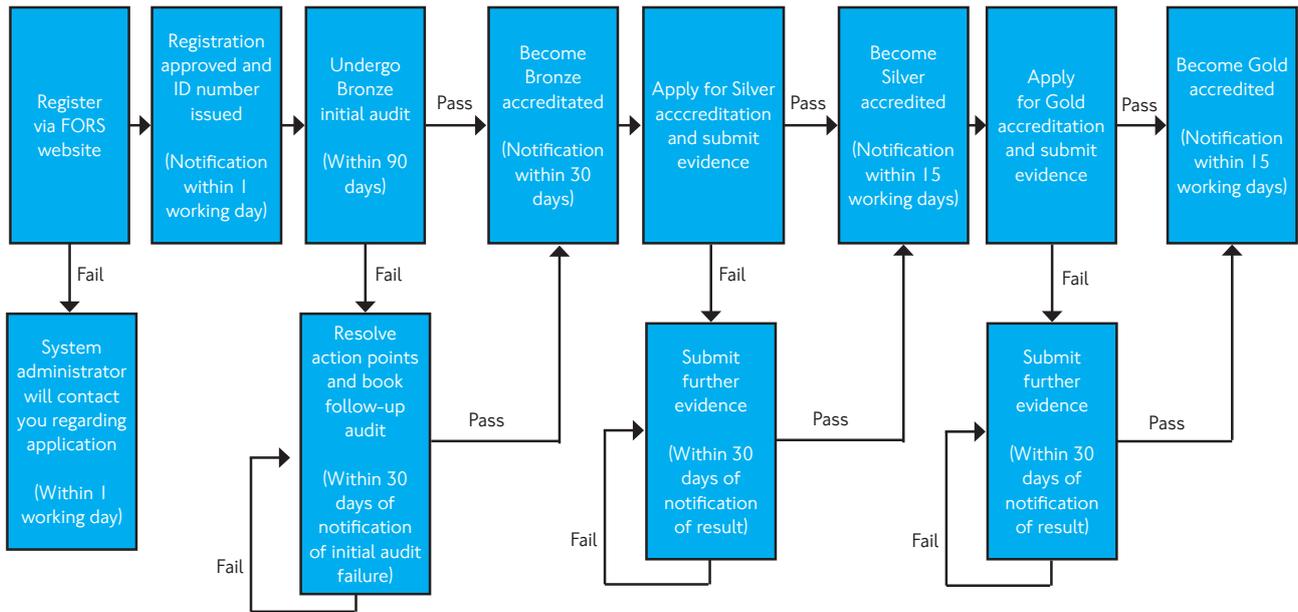
2.3 Overview of accreditation levels

There are three levels of FORS accreditation which a fleet operator can be granted. These are as follows:

- a) Bronze – a legally compliant operator that is following good practice - this is the entry level of accreditation
- b) Silver – high quality operator, committed to becoming safer, greener and more efficient – this is the intermediate level of accreditation
- c) Gold – exceptional operator that has met specific targets and is continuing to improve – this is the highest level of accreditation

Figure 2.1 shows the steps to FORS progression and attaches timescales for each process.

Figure 2.1 – The steps to FORS progression

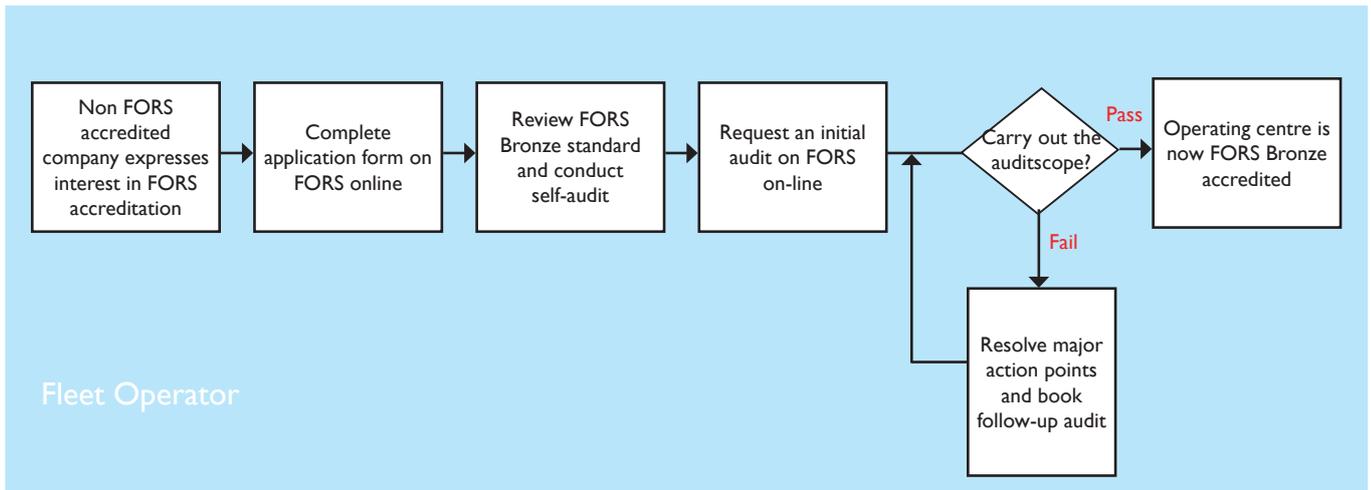


2.4 Attaining FORS Bronze accreditation

The following steps indicate the basic processes a fleet operator must follow in order to obtain accreditation. It is advised that you ensure that your organisation complies with the eligibility criteria set out in section 2.1

- a) Complete the application form on www.fors-online.org.uk
- b) It is recommended that organisations self-assess prior to any official audit using the Bronze audit checklist provided in Annex 2 of the FORS Supplementary Guidance
- c) Submit to an initial audit from a certification body which covers all relevant parts of the FORS Standard at your operating centre(s). On the day of any audit the persons within your organisation responsible for fleet operations shall be available, as shall all relevant paperwork cited within the FORS Standard. Following the audit, an audit report will be emailed to the company with the audit result
 - d) If the audit is successful, you will receive your certificate (all certificates are electronic) to confirm your Bronze accreditation dates and you can start using your FORS benefits
 - e) If the audit is unsuccessful, resolve any major action points found during the audit and book a follow-up audit in the same way as is detailed in ‘point c’. The follow-up audit shall be carried out within 30 calendar days of notification of failure of the initial audit
 - f) Minor action points shall be resolved within 90 calendar days of the initial audit
 - g) Renew your accreditation at least 30 calendar days - but no more than 60 calendar days - before the expire of your Bronze accreditation via a re-approval audit

Figure 2.2 – Overview of attaining FORS Bronze accreditation



2.4.1 Retaining FORS accreditation

FORS accreditation is time-limited and must be renewed on an annual basis following the initial audit. Renewal is undertaken by your certification body via a re-approval audit to ensure that your systems of operation are still compliant with the FORS Standard.

2.5 Audit procedures

The purpose of this section is to present in detail the audit procedures to be applied by you (as a fleet operator) and any approved certification body. This covers the three types of audit:

- ◆ Initial audit
- ◆ Re-approval audit
- ◆ Follow up audit for major action point correction

2.5.1 Initial audit

Eligibility

The initial audit against the FORS Standard is applicable to those operators that fall within the categories stated in section 2.1 and either:

- a) Have not previously held FORS accreditation or
- b) Whose FORS accreditation has lapsed or been removed

Application

Operators should identify a certification body via the scheme administrator’s website and submit an application for accreditation.

Operators may choose to use the services of a consultant to ensure systems are in place prior to making an application and during the accreditation process. Please note that the certification body cannot offer consultancy services in relation to elements of your management system related to FORS as this would cause a conflict of interest.

Application process

The certification body will review the application, send a quotation and if accepted set up the audit. The quotation will explain how long the audit will take and how much it will cost in total. As private organisations, certification bodies are not obliged to accept your application.

Allocation of auditor(s)

The audit team may be a single person or a team of people depending on your employee count, the number of each vehicle type, and the geographical location and number of operating centres.

The audit

The certification body will send the audit team to your operating centre at a mutually agreed time and date and undertake an audit of your policies and procedures using the parts of the FORS Standard applicable to the types of vehicles you operate. This will include:

- a) An opening meeting with you
- b) An audit of any management system documentation relevant to your FORS Standard compliant operating system (usually in your offices)
- c) An audit to confirm that your working practices comply with what is written in your management system documentation
- d) The auditor(s) writing an audit report and submitting a copy to the scheme administrator (which may be electronic) with their recommendation for accreditation. The scheme administrator will advise, by email the results of your audit attaching a copy of the audit report outlining any action points that have been found together with your Bronze certificate if appropriate. The auditor will not be in a position to consult with you on the best course of action to correct any actions (as later auditing of corrections would not be impartial)

Accreditation decision

The certification body will forward a copy of the audit report and their recommendations to the scheme administrator to make an accreditation decision. This decision will be communicated via the scheme administrator and will either:

- a) Certify the fleet operator as a FORS compliant operator
- b) Request the fleet operator develops an action plan to undertake correction

of any action points agreeing action owners and target dates for completion which will be verified via a follow up audit or

- c) Not certify the operator as a FORS compliant operator, giving reasons for such a decision

Certification

Following accreditation, you will receive a certificate from the scheme administrator. All certificates are electronic. The certificate will include the FORS logo, your FORS ID number, your expiry date, and applicable scope of accreditation (location and number of operating centres).

You will be given a link to access the self-print area of FORS online where you can download a FORS generic logo and/or highest accreditation level logo. The logos include your FORS ID number

2.5.2 Re-approval

FORS Bronze accreditation is time-limited and must be renewed on an annual basis for Bronze operators following the initial audit. Renewal is undertaken by your certification body via a re-approval audit to ensure that your systems of operation are still compliant with the FORS Standard.

Re-approval audits shall be undertaken at least 30 calendar days - but no more than 60 calendar days - before the expiry of your accreditation. Your current certification body will send you a reminder to book your re-approval audit. It is necessary to undertake the audit at least 30 days prior to the expiry of your accreditation so that, should you fail, you have time to undertake a follow-up audit prior to your expiry date.

FORS is a firm advocate of continuous improvement. Therefore any unaddressed action points raised in the previous year's audit identified in the re-approval audit shall be escalated as major action points, which may result in a failed audit result.

2.5.3 Follow-up audit for action point correction

If the scheme administrator has determined that you need to undertake a correction of action points, you will need to contact your certification body for a follow-up audit which shall only check against those action points.

Your certification body may or may not need to visit your premises for this audit and under your contract with them will require payment for such services. Following this follow-up audit, the process in section 2.4 shall apply.

Please note that if you have 16 major action points or more, the company will need to undertake another full FORS Bronze on-site audit as opposed to a follow-up audit. This means that all requirements will be audited again. This audit will be charged as a full audit at the standard fee.

Follow-up audits for registered operators shall be undertaken within 30 calendar days of notification of failure of the initial audit. Failure to meet these guidelines will result in another initial audit having to be conducted.

Existing FORS operators are required to undergo a follow-up audit within 30 calendar days of notification of failure of the re-approval audit. Failure to meet these guidelines will result in another initial audit having to be conducted. Please note that your organisation may still be at risk of being downgraded if your follow-up re-approval audit is not undertaken and passed prior to your expiry date - see section 2.5.5.

2.5.4 Failure to maintain FORS Bronze accreditation

Failure to maintain your FORS Bronze accreditation will result in your accreditation being removed and your organisation being downgraded to registered status. Your accreditation will be downgraded the day after the date of expiry (even if an audit is booked or an audit has been failed).

Progression to Bronze must be undertaken within 90 calendar days and should be done by contacting your certification body to arrange an audit.

Failure to progress to Bronze within 90 calendar days will result in the organisation being downgraded to dormant. This means the organisation is no longer a FORS registered company and will not be listed on the website.

When an operator is downgraded from Bronze accreditation they are no longer able to use the FORS benefits such as displaying the FORS logo on company stationery, vehicles etc. Continued use of these benefits is a breach of the FORS Terms and Conditions, together with Intellectual Property Rights held by FORS.

2.5.5 Downgrade process

Automated weekly reminders are sent by email to the primary contact for a period of 60 calendar days prior to expiry. Once the Bronze, Silver or Gold expiry date has been exceeded by a FORS organisation, they are technically no longer accredited to that level so the accreditation status will be adjusted appropriately through the downgrade process.

Any operators found to be in breach of the following will be downgraded:

- a) The present certificate has expired
- b) A re-approval audit has been failed and the follow-up audit has not been undertaken and passed prior to your expiry date
- c) An application for Silver or Gold has not been submitted and passed prior to your expiry date
- d) Breaching the FORS Terms and Conditions (see Annex 8)

2.6 Changing your details

Your certification body will include in their contract with you a requirement that you shall declare any changes to your details, in particular the following:

- a) Company name
- b) Scope or scale of operation
- c) Address (including address of other operating centres under the scope of certification)
- d) Company registration number
- e) Directors
- f) Ownership
- g) Contact details

It is essential that you disclose any changes that might affect the validity of the FORS accreditation to the scheme administrator. Changes such as a like-for-like replacement of vehicles would not require notification, nor would an increase in vehicle number equating to less than 10% of the fleet from the time of the last audit.

The scheme administrator will send you a copy of your details to enable you to highlight any changes. On receipt of this, the company must assess the changes and undertake the appropriate audit activity

2.7 Use of the FORS logo

Following accreditation under the FORS scheme you may use the FORS logo in accordance with the FORS logo usage standard, available on the scheme administrator website.

The logo may only be used on vehicles operated from, and media relating to, the operation awarded accreditation.

as determined in section 2.6.1, and may also pass relevant information to the scheme administrator.

Table 2.1 - Change of details consequences

Type of change	Consequence
Additional operating location	Audit of new location
Relocation of operating location	Audit of new location
Fundamental change to type of operation (including vehicle type)	Audit of new location
Change in key personnel within the operation	Re-audit, depending upon likely impact of change as determined by the certification body
Change in status of the operation (for example from mergers)	Possible re-audit, depending upon likely impact of change as determined by the certification body
An increase in vehicle fleet by 10% or more	Possible re-audit, depending upon likely impact of increase as determined by the certification body
Dissolution of certified company	Certification withdrawn
Change of company name	Re-issue of certification (with reference to former name if within that audit period)
Certification body aware of undeclared changes in your status	Scheme administrator to review report and either dismiss the claim, suspend or withdraw certification and request a full or partial re-audit

2.6.1 Consequences of change of details

The consequences detailed in table 2.1 will occur upon the listed change of details.

You should contact your certification body for instances not mentioned here.

Full details of the logo usage standard can be downloaded from FORS online.

<https://www.fors-online.org.uk>

2.7.1 Misuse or misrepresentation of the FORS logo

Any misuse or misrepresentation of the FORS logo may be reported by any party to the scheme administrator, who will investigate such claims and take appropriate action which may include a request to remedy the misuse or misrepresentation within a defined timescale and may lead to the removal of FORS accreditation (section 2.9).

2.8 Sharing of information

Some of the information you provide to your certification body and the scheme administrator is shared between them for normal day-to-day operations and to enable improvements to FORS, and some information is made public. In all cases this information will be kept in accordance with the Data Protection Act 1998 and no personal data will be collated or transmitted.

The information that can be shared between certification bodies and the scheme administrator includes:

- a) Audit reports
- b) Complaints
- c) Your operator details and scope of certification
- d) Anonymised Key Performance Indicators (KPIs)
- e) Any discovered misuse or misrepresentation of the FORS logo

The scheme administrator and your certification body may publicise basic details relating to your FORS accreditation including:

- a) Company name
- b) Operating location(s)
- c) Scope of FORS certification (ie the type of vehicles)
- d) Ending of FORS accreditation

The operator should advise the scheme administrator which routes to accreditation they wish to pursue but this will ultimately be determined by the number of operating centres the operator has.

Table 3.1 details the different methods of attaining FORS accreditation, the applicability, and the audit method that shall be applied.

2.9 Removal of FORS accreditation

The scheme administrator has the option of withdrawing, suspending or terminating your FORS accreditation following any breach of protocol cited within this document and/ or the FORS Terms and Conditions. This will require that:

- a) The scheme administrator writes to you at the address to which the accreditation applies, and your certification body, informing you of such a decision and the reasons for removal of accreditation
- b) The scheme administrator removes any listing of your accreditation and that the certification body does the same
- c) You immediately remove any FORS logo in use (on vehicles, buildings, stationery, website etc)
- d) You immediately remove any reference to FORS accreditation from your literature (including printed documents and web pages)

2.10 Dormant users

If after registering, no progress is made within 90 calendar days the operator will be downgraded to a dormant user. Dormant user means you are no longer a FORS registered operator and will no longer be listed on the website. Password rights to the website will also be removed.

2.11 Complaints

Should you consider that you have not been treated fairly either by the scheme administrator or your certification body and cannot amicably resolve the issue you may complain using the complaints and appeals processes.

In the first instance you must write to the certification body or scheme administrator using the words 'Official FORS complaint' in the letter title. They will send to you an acknowledgement and a copy of the complaints and appeals process which shall be followed to investigate your complaint.

2.12 Additional general information

Subject to any terms of contract with your certification body, you are at liberty to change to a different certification body at any time. Your new certification body will ask in your contract with them that previous audit reports and decisions may be obtained by them from your previous certification body and the scheme administrator.

All information obtained by your prior or present certification body and scheme administrator will be held in confidence and in compliance with the Data Protection Act 1998, unless permission is granted to release this information or required by law. Information will be kept by your certification body and the scheme administrator for up to six years.

In order to prevent payment being used to influence auditing and reporting, your certification body must insist that all payments be made in advance.

This document may be used by any party to audit the management system of an operating centre. However, claims of FORS certification or compliance shall only be made by those certified by an approved FORS certification body.

2.13 FORS Terms and Conditions

Full details of the FORS Terms and Conditions can be found on www.fors-online.org.uk.

3 Routes to FORS accreditation

3.1 Number of audits required

The number of audits required is dependent on the number of operating centres covered in the scope of accreditation.

3.2 Single Operating Centre Accreditation (SOCA)

SOCA applies to operators wishing to have only one operating centre accredited or more than one operating centre accredited but where those operating centres do not share the same policies and procedures throughout. It is mainly for smaller operators but can also be applied for by larger operators that do not wish to include all of their operating centres within the scope of accreditation.

Table 3.1 – Methods of attaining FORS accreditation

Accreditation type	Applicability	Method
Single Operating Centre Accreditation (SOCA)	Operators wishing to have only one operating centre accredited or more than one operating centre accredited but who do not have the same policies and procedures throughout	One audit is required at each operating centre
Multi-Operating Centre Accreditation (MOCA)	Operators with the same policies and procedures throughout	Audit requirements per operating centre(s): <ul style="list-style-type: none"> ◆ 1-3: one audit each ◆ 4-15: three audits ◆ 16+: 20 per cent sample is audited
Whole Fleet Accreditation (WFA)	National fleet operators with three or more operating centres seeking to gain accreditation by demonstrating widespread applicability of the FORS Standard through an established internal transport management quality audit process	Audit requirements: <ul style="list-style-type: none"> ◆ A quality systems audit ◆ 20 per cent of the operating centres to be self-audited by the WFA company ◆ 100 per cent of auditors undergo a witnessed audit by certification body ◆ 100 per cent of the audit reports are quality checked

SOCA can be attained by successfully passing an audit at each operating centre included in scope. These operating centres can operate independently of one another and do not have to follow the same policies and procedures.

The operating centre where the audit is conducted will automatically be one of those covered by your Bronze accreditation. Application for this type of accreditation can be carried out by following the processes detailed in section 2.4.

The flowchart in Figure 3.1 gives an overview of the process and actions of each party in the process of acquiring FORS Single Operating Centre Accreditation (SOCA) which should be read in conjunction with the FORS Standard.

3.3 Multi-Operating Centre Accreditation (MOCA)

This type of accreditation applies to operators with more than one operating centre and that operate to the same policies and procedures throughout. MOCA is a convenient way to extend the scope of your accreditation across your entire company, division, sector or region.

MOCA can be attained by successfully passing a number of audits at operating centres included in scope. Where 1-3 operating centres are to be included in scope,

one audit will be required at each of the operating centres. For 4-15 operating centres, three audits will be required.

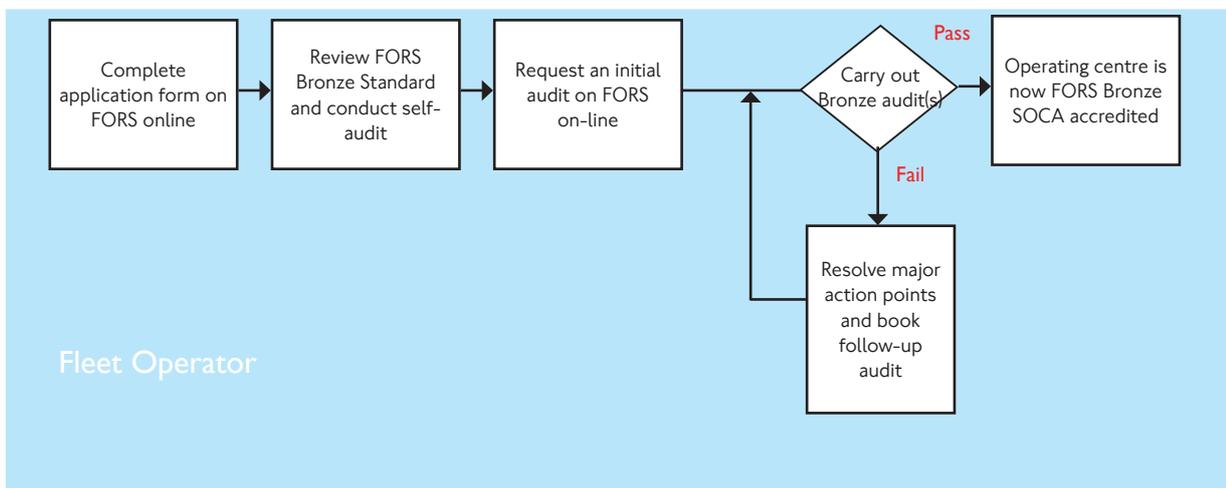
The determination of which operating centre will be audited is the choice of the company in Year 1 but is the choice of FORS in subsequent years to ensure that all operating centres undergo audit on a rolling programme.

For 16 or more operating centres, 20% of the operating centres need to be audited on an annual basis.

Operators wishing to apply for MOCA shall take note of the following:

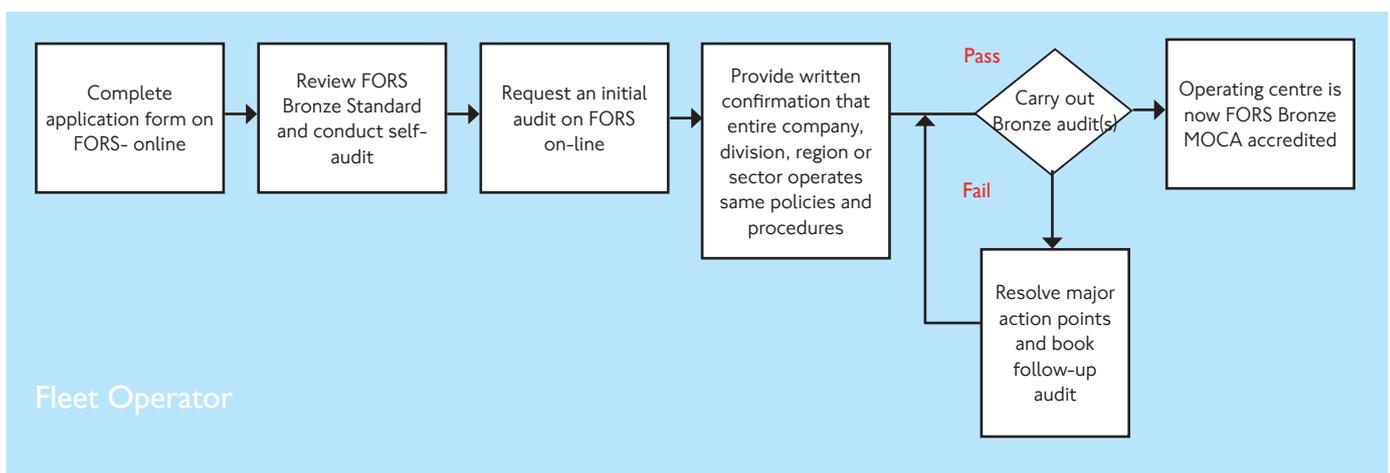
- a) You are only eligible for MOCA if a senior manager or director confirms in writing that the same policies and procedures are applicable and in place across all the operating centres declared in the scope of your accreditation (you will be asked to supply the post codes of operating centres to be included)
- b) Scope of accreditation within MOCA is important and companies need to ensure that a sufficient amount of audits have been conducted in accordance with the published FORS ratio. This will ensure that FORS accreditation can be claimed across the declared fleet. Companies that are within the same group and that

Figure 3.1 – Single-operating centre application and accreditation (SOCA) process



- operate to the same policies and procedures, confirmed in writing to FORS, can be included but these must be reflected in the company page and name. It is important to ensure that companies reflected on the Operator Licence and within the required scope of accreditation are declared and represented in the company name, on the company page or within the sub ID structure
- c) If a company's single operating centre is already Bronze and they decide to go for MOCA at the time of the re-approval, then they will be requested to have the correct number of audits in line with the breakdown detailed in table 3.1
 - d) An audit can be conducted at the company's Head Office if this is where all the records are held, but additional audits will need to take place at other operating centres to ensure the correct number of audits have taken place and that policies and procedures held centrally are being practiced at the operating centres
 - e) Accreditation will be granted for each operating centre. Once all of the audits have taken place, a certificate for the whole company can be issued. Bronze accreditation expiry date will be set to the latest audit date plus one year
 - f) Your accreditation may be at risk should one operating centre within the scope of accreditation breach the FORS Terms and Conditions. FORS retains the right to remove MOCA if deemed necessary due to the actions of any of the operating centre
 - g) The Bronze re-approval audits will take place at operating centres not previously audited (where possible).
The same number of audits as required in year one will be required in year two (and consecutive years) dependent on company growth.
- The flowchart in Figure 3.2 gives an overview of the actions in the process of acquiring 'FORS Multi-Operating Centre Accreditation' which should be read in conjunction with the FORS Standard.

Figure 3.2 – Multi-operating centre application and accreditation (MOCA) process



3.4 Whole Fleet Accreditation (WFA)

3.4.1 What is FORS WFA

Any Bronze accredited company with three operating centres or more, that has their own internal transport management quality audit process, can apply to the scheme administrator for FORS WFA. This will entitle the company to audit their operating centres to the FORS Standard using their existing in-house auditing team.

3.4.2 How to gain FORS WFA

There are five steps in the process to gain WFA:

- a) Complete an application to undertake Whole Fleet Accreditation by filling the documentation in Annex 1.
 - Application form (Annex 1-A1)
 - Declaration of Intent (Annex 1 – A2).
 - Declaration of auditor competence (Annex 1 –A3). Additional information is available in Annex 1- A5.

The completed documentation need to be sent to the scheme administrator.

Please ensure that you apply for WFA 90 days prior to expiry of your Bronze accreditation

to ensure there is sufficient time for the process to be completed.

- b) Once the application has been approved, you will need to successfully undertake the quality management systems check, covering the company’s systems, the in-house audit scope and auditors. The purpose is to check that a credible audit programme is in place and delivered uniformly across your business (Annex 1 – A4). If you fail your systems check then you have 30 days to address the findings and undertake remedial actions.

- c) Ensure that your auditors have completed the FORS auditors’ training course and hold the relevant Transport Manager Certificate of Professional Competence (CPC) qualification.

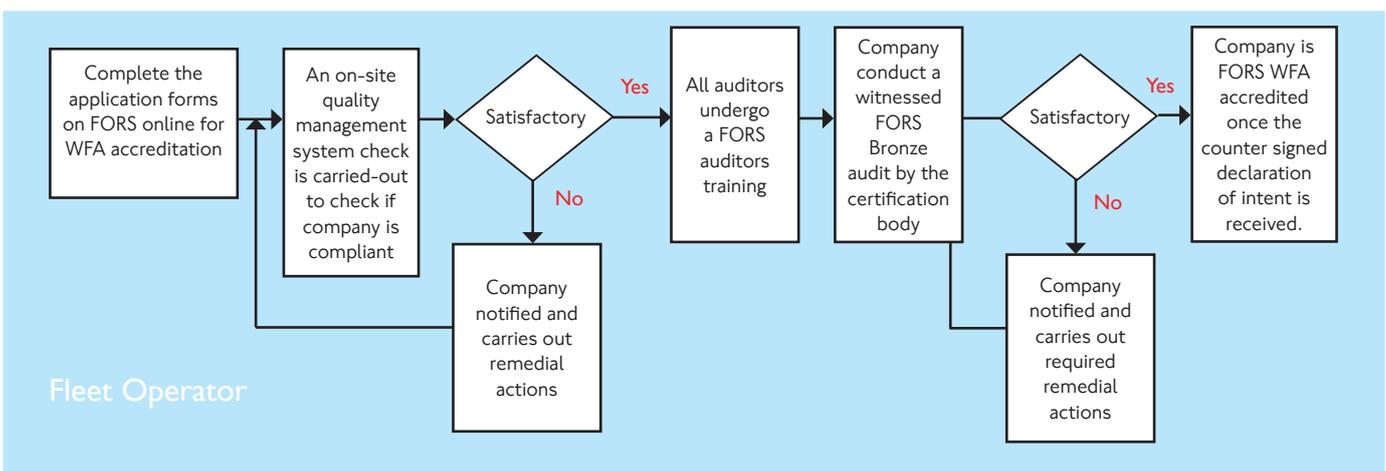
- d) Schedule and conduct a FORS Bronze audit, witnessed by a senior FORS auditor.

- e) If the audit is successful, your company becomes WFA accredited, and your Bronze expiry date is superseded. If you fail your witnessed audit, you will have to carry out WFA remedial actions.

3.4.3 Certification process overview

The flowchart in Figure 3.3 gives an overview of the process and actions in the process of acquiring ‘FORS Whole Fleet Accreditation’ which should be read in conjunction with the FORS Standard.

Figure 3.3 – Whole Fleet Accreditation process overview



3.4.4 Re-approval procedure and ongoing requirements

On an annual basis, or following a review of any changes to the company's auditors or quality management procedures, a re-approval quality management systems audit will be undertaken. On an ongoing basis, the following shall take place:

- 20 per cent of the operating centres shall be self-audited by the WFA company
- 100 per cent of auditors shall undergo a witnessed audit by certification body
- 100 per cent of the audit reports shall be quality checked

Your WFA shall be renewed every year regardless of your accreditation level. Please note that one of the witnessed audits undertaken each year as part of your WFA will count as a Bronze audit and you will be issued with a new Bronze certificate on an annual basis.

3.4.5 WFA requirements

For the FORS approved WFA application, the documents listed in Annex I, which are core to the FORS work, shall be made available. Other documentation need only be created when needed.

a) General requirements

- Companies must confirm that they operate the same policies and procedures across all operating centres, regions or sectors within scope of the accreditation
- Prior to obtaining WFA, the company must identify the scope of the accreditation including the operating centre postcodes and fleet profile for those to be included within the accreditation
- FORS WFA companies shall operate a written management system which controls its activities, and show adequate control of its documentation related to this scheme
- The audit of operating centres by the FORS WFA company shall be undertaken against the requirements of the FORS Standard
- FORS WFA companies shall demonstrate evidence of having access to all referenced documents within the FORS Standard and make these available to the certification body
- FORS WFA companies shall be a legal company (or part thereof)
- FORS WFA companies shall demonstrate that they have sufficient funds to finance and insure their operation following a written risk assessment of its potential liabilities over an annual certification cycle; this risk assessment shall be evaluated at each re-approval audit
- The certification decision and issue of certificates is the role of the scheme administrator. The administrator will issue electronic certificates to the primary contact. It is the responsibility of the primary contact to forward certificates to individual operating centers
- FORS WFA companies shall pass all enquiries relating to general certification activities and requirements to the scheme administrator who is responsible for distributing this information
- FORS auditors will seek evidence of intent (eg procedures, company policy, charters) and evidence of execution (eg action logs, registers, schedules, plans)

b) Organisational requirements

- Companies conducting FORS approved audits shall have a quality manual covering the system requirements and implementation system for audit purposes.
- Companies shall operate a written management system which controls its activities, and shows adequate control of documentation. See Annex I - A4.
- Companies shall demonstrate a regular audit schedule and evidence of corrective action where non-compliance is identified.

c) Auditor requirements

Companies shall hold and document auditor competencies and ensure that existing and new auditors have the competence and skills identified in the auditor competency checklist in Annex I - A3.

- Companies shall ensure that auditors' skills and knowledge are updated on a regular basis in line with:
 - FORS Bronze Standard
 - Legal compliance
 - Industry standard best practice in conducting audits
 - FORS auditors' newsletter
- Auditor refresher training needs to be completed every three years and whenever it is required.
- FORS WFA companies shall review and record the performance of auditors and technical specialists as and when required and react upon receipt to any recommendations from the certification body.
- FORS WFA companies shall keep up-to-date personnel records for all staff involved in certification activities

and make it available for the Scheme Administrator whenever required.

- Identify a senior manager responsible for QA standards at all the sites and for all vehicles within scope. This person would be expected to sign the Declaration of Intent.
- Identify how many auditors would be engaged within the company FORS auditing. This is necessary to establish whether there are sufficient resources to complete the number of audits deemed acceptable.
- If the company uses internal auditors, identify how they are seen to be impartial from the rest of the business. This is to ensure that operating centres / sectors have impartial audits and are not self-policing.

d) Management requirements

- FORS WFA companies shall hold an up to date written organogram indicating structure, duties, responsibilities and authorities of all types of role involved in their auditing activities. This must include at least a separate quality manager and team of auditors. Senior management (those with overall responsibility for the auditing activities) personnel shall be named.
- FORS WFA companies shall hold and document management reviews of their audit activity (which shall include complaints and appeals) and undertake any necessary rectifications to their systems of work following such a review.
- The certification body will assign a senior auditor whose role will be to review the completed application forms, carry out the initial quality management audit and witness the company's self-conducted FORS Bronze audit.

- Confirm that reports are saved in a secure manner and retained for six years
- Make a commitment to submit all audit reports to the Scheme Administrator within five working days of the audit. Any other reports have to be submitted within 48 hours of request.
- Confirm a central audit database exists which lists all those audited, including dates, outcomes and issues raised
- Identify a system which monitors expiry dates and ensures audits are completed annually at each operating centre in scope of accreditation

e) Operational requirements

- Companies shall hold and document reviews of the scope of their audit and ensure that it is equivalent to the requirements of the FORS Bronze Standard.
- Companies shall base audit recommendations upon sufficient objective evidence of conformity to the FORS Standard and no other factor.

f) Audit requirement

- Identify the standard the company has applied in drawing up their quality system. Examples would be ISO9001, UKAS Quality Management or in-house
- Confirm that the audit programme is covered by a set of documented processes or procedures and that there is evidence of a live and working system of quality and audit processes already in place
- Identify whether the quality system is subject to an external audit, and if so who undertakes the audit and what reports are available
- Identify evidence of corrective action planning and execution. To identify evidence of where remedial action

has been taken to rectify issues found during audits

- Confirm the proposed audit frequency and identify evidence of an audit timetable. Audits must be carried out at a minimum of 20 per cent of current operating centres within scope of accreditation on an annual basis. Evidence of completed audits to a schedule and evidence of forward planning for future audits has to be provided by the company
- Confirm that the audit report meets all mandatory requirements for the FORS Standard to the required level of rigor

3.4.6 Quality management audit

The quality management audit is a three-day process at the initial application and one day the following years. The following criteria will be evaluated by a senior FORS auditor to validate suitability to become a WFA accredited company.

i. Management review

- Identify how audit findings are reported to senior management and business planners and confirm evidence that senior managers are aware of quality issues eg minutes from board meetings
- Identify how often the team meets to discuss the audits findings.
- Identify the inputs to these meetings. This should be agenda items such as objectives, results of audits internal and external, complaints, etc
- Evidencing outputs and actions to demonstrate improvements of the effectiveness of the management system, training requirements and resources

ii. **Witnessed Bronze audit**

On successful completion of the initial systems check, the external senior auditor will request dates of the forthcoming Bronze audits and will carry out one witnessed audit with each of the auditors. In the following years the external senior auditor will carry out one witnessed audit with each of the auditors - please note that one of the witnessed audits undertaken each year as part of your WFA will count as a Bronze audit and you will be issued with a new Bronze certificate on an annual basis.

iii. **Record keeping**

The following records shall be retained:

- Audit reports
- Action plans
- Witnessed audit report
- Documentation identifying remedial actions
- Evidence proving that remedial actions have been implemented

Companies shall retain records for a period of six years.

iv. **Operating principles**

Companies shall operate in a manner which inspires confidence by operating to the following principles in all of its actions:

- Impartiality
- Competence
- Responsibility
- Openness
- Confidentiality
- Responsiveness to complaints

Companies shall not hold any information regarding their supply chain that would be in breach of the Data Protection Act 1998.

3.4.7 **Discontinuation of the Declaration of Intent**

a) **Voluntary**

Companies may stop undertaking FORS approved audits at any time. The Scheme Administrator shall be notified in writing (template) 30 days prior to ceasing activities. The scheme administrator will decide the status of the company.

b) **Involuntary**

The administrator may, in certain circumstances, withdraw FORS WFA status. In such cases the following procedures will be undertaken in the following order:

- The administrator will identify in writing the company the reasons for concern
- Requirement for the company to undertake and prove corrective action
- Suspension of the rights to deliver FORS approved audits
- Involuntary discontinuation

These actions may be due to factors including, but not limited to:

- A serious complaint that cannot be resolved
- A failure to comply with the requirements of this document
- A change in legal structure or ownership that might introduce a conflict of interest not capable of being satisfactorily managed
- Any case of gross misconduct being proven against the company
- Being inactive for a period of 12 months
- Becoming financially insolvent or entering into administration

- Failing to maintain compliance with the criteria for your level of accreditation
- Committing any act or omission which may result in any harm or damage to the reputation or the operation of FORS

Corrective action

Corrective action may be considered as actions which are undertaken to correct any breakdown in the operation of the company's audit process. Corrective actions must be undertaken within 30 calendar days (or any longer agreed timescale).

Action arising from failure to undertake the required corrective action will result in the company's accreditation being reviewed by FORS administrators until such time as corrective action has been implemented, reviewed and approved.

Involuntary discontinuation

Companies which fail to undertake corrective action will have their WFA status withdrawn, upon which the company must either have to revert back to MOCA or SOCA or alternatively cease referencing themselves as being FORS accredited. Companies will undertake no activities or actions which could lead any employees or third parties to incorrectly assume they hold FORS WFA accreditation.

Please be aware that any breaches in compliance at one operating centre may put your entire accreditation at risk.

4 The steps to FORS progression

4.1 FORS Silver accreditation process

4.1.1 Application

To gain Silver accreditation, fleet operators shall provide evidence for every operating centre that is in scope of accreditation demonstrating that they meet the specific requirements for Silver. Where multiple operating centres are in scope of the Silver accreditation, this may be evidenced in one upload. This must be carried out by accessing FORS online and submitting evidence via the evidencing system (please refer to section 4 of the Standard for details of the Silver requirements). Please note that your Bronze accreditation must have at least 30 calendar days validity at the time of submitting evidence for Silver approval.

4.1.2 Accreditation decision

Within 15 working days of the operators submitting evidence, FORS administrator will either:

- a) Accredit the fleet operator to FORS Silver
- b) Request that the fleet operator provides further evidence to meet the requirements
- c) Not accredit the operator to FORS Silver, giving reasons for such a decision

4.1.3 Certification

Following accreditation, you will receive a FORS Silver certificate from the scheme administrator. All certificates are electronic. The certificate will include the FORS Silver logo, your FORS ID number, your expiry date, and applicable scope of operation (location and number of operating centres).

You will be given a link to access the self-print area of FORS online where you can download an A4 FORS Silver logo which includes your FORS ID number.

Progression to Silver is not mandatory but is recommended. FORS Silver operators need only to undergo the Bronze re-approval audit every two years. However, Silver accreditation needs to be renewed each year via the evidencing system.

Once Silver accreditation has been attained your Bronze accreditation will be extended by a further year. A new Bronze certificate will not be issued, however FORS online expiry dates will be updated.

4.1.4 Re-approval

Renewal of your Silver accreditation shall take place each year by submitting a new application 30 calendar days prior to the expiry date of the present certificate in order for accreditation to continue.

Your Bronze accreditation must have at least 30 calendar days validity at the time of submitting evidence for Silver re-approval.

If you are asked to provide further evidence in order to pass your Silver accreditation, you shall provide this within 30 days of notification of your result.

4.1.5 Failure to maintain FORS Silver accreditation

Failure to maintain your FORS Silver accreditation will result in your organisation being downgraded to Bronze. When Silver accreditation is lost, the extra period of time added to your Bronze accreditation when Silver was gained will also be taken away.

If you fail to maintain your Bronze accreditation as a Silver operator you will be downgraded to dormant.

Your accreditation will be downgraded the day after the date of expiry unless a Silver renewal application has been received.

When an operator is downgraded back to registered status they are no longer able to use the FORS benefits such as displaying FORS status logos on company stationery, vehicles etc. Continued use of these benefits is a breach of FORS Terms and Conditions.

If you have Bronze MOCA plus individual operating centres at Silver, all Silver will expire if MOCA expires.

4.2 FORS Gold accreditation process

4.2.1 Application

To gain Gold accreditation, fleet operators shall provide evidence for every operating centre that is in scope of accreditation demonstrating that they meet the specific requirements for Gold. Where multiple operating centres are in scope of the Gold accreditation, this may be done as one upload. This must be carried out by accessing FORS online and submitting evidence via the evidencing system. Please refer to section 4 of the Standard for details of the Gold requirements.

4.2.2 Accreditation decision

Within 15 working days of the operators submitting evidence, FORS administrator will either:

- a) Accredit the fleet operator to FORS Gold
- b) Request the fleet operator provides further evidence to meet the requirements
- c) Not accredit the operator to FORS Gold, giving reasons for such a decision

4.2.3 Certification

Following accreditation, you will receive a FORS Gold certificate from the scheme administrator. All certificates are electronic. The certificate will include the FORS Gold logo, your FORS ID number, your expiry date, and applicable scope of operation (location and number of operating centres).

You will be given a link to access the self-print area of FORS online where you can download an A4 FORS Gold logo which includes your FORS ID number.

Progression to Gold is not mandatory but is recommended. FORS Gold operators need only undergo the Bronze re-approval audit every three years. However, Gold accreditation needs to be renewed each year via the evidencing system.

Once Gold accreditation has been attained your Bronze accreditation will be extended by a further year. A new Bronze certificate will not be issued, however FORS online expiry dates will be updated.

4.2.4 Re-approval

Renewal of your Gold accreditation shall take place each year by submitting a new application 30 calendar days prior to the expiry date of the present certificate in order for accreditation to continue.

Your Bronze accreditation must have at least 30 calendar days validity at the time of submitting evidence for Gold re-approval.

If you are asked to provide further evidence in order to pass your Gold accreditation, you shall provide this within 30 days of notification of your result.

4.2.5 Failure to maintain FORS Gold accreditation

Failure to maintain your FORS Gold accreditation will result in your organisation being downgraded. As a Gold accredited operator, if you fail to maintain your Silver accreditation you will be downgraded to Bronze level.

Your company will be downgraded the day after the date of expiry unless a Gold renewal application has been received.

If an operator is downgraded back to registered status they are no longer able to use the FORS benefits such as displaying FORS status logos on company stationery, vehicles etc. Continued use of these benefits is a breach of FORS Terms and Conditions.

If you have Bronze MOCA plus individual operating centres at Gold, all Gold will expire if MOCA expires.

Annex I Whole Fleet Accreditation

AI Application for Whole Fleet Accreditation

Company details

FORS ID	
Company name	
Head office / Main location name	
Street	
Town	
Postcode	
Contact name	
Position	
Contact phone	
Email	
Do you use sub-contractors / owner drivers	
If yes; Does your company policy state that sub contractors / owner drivers must adhere to FORS Standard?	
Number of employees	
Quality management team structure	
List of proposed auditors	
List of all operating centres	
List of operating centres to be audited	
Describe the type and scope of fleet operations	

Category	Type	Fuel type							Totals		
		Diesel	Petrol	Biofuel	Gas ¹	Electric	Fuel Cell ²	Hybrid		Other	
Van	Light vans < 1.8T										
	Medium vans 1.8T to 2.6T										
	Heavy vans 2.6T to 3.5T										
	Rigid HGV 3.5T to 7.5T										
	Rigid HGV 7.5T to 18T										
	Rigid HGV 18T to 26T										
Lorry	Rigid HGV 26T to 32T										
	Articulated < 26T										
	Articulated 26T to 38T										
	Articulated 38T to 44T										
	Articulated > 44T										
	Drawbar HGV < 26T										
	Drawbar HGV 26T to 38T										
	Drawbar HGV 38T to 44T										
	Bus	17 passenger seats and over									
	Coach	17 passenger seats and over									
Minibus	9-16 passenger seats										
	up to 8 passenger seats										
Motorcycle											
Other	List...										
Trailer											
Total											

1 Fossil fuel/non fossil fuel based

2 Hydrogen

A2 Declaration of intent

Declaration of Intent Fleet Operator Recognition Scheme and (company) (Date)

This Declaration of Intent sets out a framework of understanding and cooperation between the Fleet Operator Recognition Scheme and (Company).

Summary

The Fleet Operator Recognition Scheme (FORS) is an accreditation scheme that aims to improve commercial fleet operations throughout the UK and beyond. FORS accredited companies have access to a range of exclusive benefits and discounts that offer real competitive advantage. Accreditation could therefore help (Company) to tender for business, save money, improve safety and reduce environmental impact.

FORS and (company) are both independent and self-regulating, and are committed to promoting and distinguishing safety, environmentally awareness and efficiency in commercial transport operations. The purpose of this Declaration of Intent is to recognise the shared objectives of FORS and (company) to work together to achieve this.

The objective of this Declaration of Intent) is to:	
1.	Recognise (company) audit process for its own fleet
2.	Demonstrate that the (company) senior management is committed to the outcomes of FORS and will deliver such objectives
3.	Confirm that the (company) senior management will ensure that the companies employees are committed to delivering FORS outcomes at all times
4.	Ensure that the (company) will maintain FORS standards at all times, not just for the period when the audit(s) are undertaken
5.	Confirm that the (company) will undertake no action, by operation, written word or verbal utterance which may bring reputational harm to FORS or the Scheme Administrator

FORS will:

1. Award Bronze status to (company) (as per FORS Standard)
2. Provide the opportunity for (company) employees to access the FORS benefits
3. Advise on how a quality benchmark can be recognised through public procurement
4. Provide opportunity for the (company) to reach the higher quality standards through improved performance measures and move through the Silver and Gold FORS accreditation levels

(Company) will:

1. Register to FORS
2. Become FORS Bronze and position the scheme to its stakeholders in the best possible way
3. Submit all audit report to the Scheme Administrator within five working days of the audit. Any other reports have to be submitted within 48 hours of request
4. The Scheme Administrator may ask for an opinion on the development of FORS to ensure its best practice content is suitable for construction operators
5. The Scheme Administrator may ask for an opinion on the future of the FORS governance
6. Work with FORS to review and align the (company) operators code of minimum standard to the FORS Standard

Signature:

.....

(company)

Name:

Position:

Date:

Signature:

.....

Fleet Operator Recognition Scheme

Name:

Postition:

Date:

A3 Declaration of auditor competence

Each auditor is required to receive scheme administrator approval prior to undertaking in-house FORS equivalent audits. Completed declarations of competency (as below) shall be forwarded to the scheme administrator for review and approval for each auditor.

Declaration

Certification body	
Types of operation to be audited by the auditor	
I hereby declare that the evidence given is a correct representation of my required auditor competencies (auditor signature)	
Auditor name	
I hereby declare that the auditor meets all relevant competency requirements (company representative signature)	
Company representative name	
Date	

Continued overleaf...

Evidence of these mandatory competency requirements shall be retained by the certification body and may be reviewed by the scheme administrator at any time

Auditor competence requirements checklist

Core competencies	
Qualifications	<input type="checkbox"/> Transport Manager CPC qualification <input type="checkbox"/> Quality systems management and auditing
Personal attributes	<input type="checkbox"/> Be independent, objective and self-motivated <input type="checkbox"/> Ability to work alone or as part of a team <input type="checkbox"/> Ability to make decisions and use own initiative <input type="checkbox"/> Excellent interpersonal skills and be able to communicate with a diverse range of individuals <input type="checkbox"/> Be of good repute as defined by the Office of the Traffic Commissioner <input type="checkbox"/> Maintains a professional image at all times
Knowledge	<input type="checkbox"/> Fleet Operator Recognition Scheme requirements <input type="checkbox"/> Occupational road risk legislation and standards <input type="checkbox"/> The different road transport industry sectors <input type="checkbox"/> Relevant Health & Safety legislation <input type="checkbox"/> Operator licensing requirements
Skills	<input type="checkbox"/> Excellent interpersonal skills with the ability to work and communicate with a diverse range of professional at all levels <input type="checkbox"/> Ability to process and interpret complex information <input type="checkbox"/> Excellent oral and written communication skills including the ability to produce reports <input type="checkbox"/> Strong prioritisation skills and ability to manage own workload make decisions and use own initiative <input type="checkbox"/> Ability to identify weaknesses in systems and processes <input type="checkbox"/> Ability to maintain client confidentiality
Sector specific experience	<input type="checkbox"/> Practical experience of working in a transport environment <input type="checkbox"/> Experience of assessing road transport operations <input type="checkbox"/> Ability to provide direction and guidance to operators <input type="checkbox"/> Understanding of what represents industry best practice
General experience	<input type="checkbox"/> Experience of quality management systems and processes <input type="checkbox"/> Ability to verify the accuracy and relevance of data collected <input type="checkbox"/> Ability to accurately record and report audit activities

Audit system competency

◆ How many qualified auditors are employed?	
◆ How many operations require auditing?	
◆ What is the targeted audit frequency?	
◆ Do you have an annual programme of audits?	
◆ Is there a credible audit process and proforma in place?	
◆ Post audit process. Provide details of a process for recording and auctioning requirements following an audit	
◆ Is there evidence of ongoing auditor training, audit the auditor or refresher training in place?	
FORS auditor comments	

A4 Quality management audit criteria

The following criteria should be evaluated and completed by a senior FORS auditor to validate suitability for auditing. This validation should only take place following a successful Bronze audit for at least one of the applicant's sites.

1. Scope of Whole Fleet Accreditation applications	
Which operating centres do you wish to be included within scope? This is intended to identify if the whole group (UK only) is included or certain subsections based on sectors, regions, client cluster or other sub divisions within the company	Comments:
Which parts of your business (if any) would sit outside of this scope? This is intended to identify specific exclusions	Comments:

2. Audit team and resourcing	
Does the company have a senior manager responsible for QA standards at all the sites and for all vehicles in the WFA scope? Looking for a director, head of department or senior manager who has responsibility for QA across the whole of the organisation identified as within scope. This person would be expected to sign the Declaration of Intent	Yes <input type="checkbox"/> No <input type="checkbox"/> Comments:
How many auditors would be engaged within FORS auditing? Is this sufficient to complete the number and quality of audits we are deeming acceptable to approve as a FORS WFA company	Comments:
Do the auditors meet the FORS auditor specification (Annex 5)? Annex 5 is the auditor specification currently used to define the suitability of a FORS auditor. Qualifications are absolute requirements	Yes <input type="checkbox"/> No <input type="checkbox"/>
If the company uses internal auditors how are they seen to be impartial from the rest of the business? To ensure operating centres / sectors have impartial audits and are not self policing	Comments:

3. Audit requirement		
What standard have the company applied in drawing up their quality system? Examples would be ISO9001, UKAS Quality Management or in house	Comments:	
Is the audit programme covered by a set of documented processes or procedures? Is there evidence of a live and working system of quality and audit processes already in place?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Comments:
Is the quality system subject to an external audit? Who undertakes and are reports available	Yes <input type="checkbox"/> No <input type="checkbox"/>	Comments:
Evidence of corrective action planning and execution To identify evidence of where remedial action has been taken to rectify issues found during audits	Comments:	
Does the vehicle audit meet (as a minimum) all the requirements of the FORS Bronze audit? To ensure the audit meets the FORS Bronze Standard	Yes <input type="checkbox"/> No <input type="checkbox"/>	Comments:
What is the proposed audit frequency? Identify evidence of an audit timetable – ideally evidence of completed audits to a schedule AND evidence of forward planning for future audits	Comments:	
Does the organisation use the FORS audit report? If not, does the audit report that they use cover all the mandatory requirements of the FORS Standard to the required level of rigor	Yes <input type="checkbox"/> No <input type="checkbox"/>	Comments:

4. Internal audit management system		
Are the audit reports saved centrally? Evidence that the reports are saved in a secure manner and retained for six years	Yes <input type="checkbox"/> No <input type="checkbox"/>	Comments:
Is there an audit database? Seeking a central database which lists all those audited, including dates, outcomes and issues raised	Yes <input type="checkbox"/> No <input type="checkbox"/>	Comments:
How are audits planned? Evidence of a system which monitors expiry dates and ensures audits are completed annually	Comments:	

5. Management review	
How are audit findings reported to senior management and business planners? Evidence that senior managers are aware of quality issues. eg minutes from board meetings	Comments:
How often does the team meet? Seeking evidence that safety and environment are issues of concern for the operator's senior management	Comments:
What are the inputs to the meetings? Objectives, results of audits internal and external, complaints	
Evidencing outputs and actions Improvements of the effectiveness of the management system, training requirements, resources	Comments:

6. Overall result	
Pass <input type="checkbox"/>	Comments:
Fail <input type="checkbox"/>	

Name of Senior Auditor:

Date:

Signature:

.....

Senior Auditor

A5 Person specification - auditor

Core competencies	
Personal Attributes	<ul style="list-style-type: none"> ◆ Be independent, objective and self-motivated ◆ Ability to work alone or as part of a team ◆ Ability to make decisions and use own initiative ◆ Excellent interpersonal skills, able to communicate with a diverse range of individuals ◆ Be of good repute as defined by the Office of the Traffic Commissioner ◆ Maintains a professional image at all times
Knowledge	<ul style="list-style-type: none"> ◆ Completed recognised auditor training ◆ Certificate of Professional Competence (National/ International) or recognised equivalent ◆ Membership of a relevant professional body ◆ Must have a full understanding of FORS, its processes and standards and how they apply to transport operations ◆ Detailed and up to date working knowledge of current and proposed transport laws, regulations and other requirements
Skills	<ul style="list-style-type: none"> ◆ Ability to understand and apply audit principles, procedures and techniques ◆ Excellent communication skills both verbal and written ◆ Ability to process and interpret complex information ◆ Ability to prioritise and focus on matters of significance
Sector specific experience	<ul style="list-style-type: none"> ◆ Practical experience of working in a transport environment ◆ Experience of assessing road transport operations ◆ Ability to provide direction and guidance to operators ◆ Understanding of what represents industry best practice
General experience	<ul style="list-style-type: none"> ◆ Experience of quality management systems and processes ◆ Ability to verify the accuracy and relevance of data collected ◆ Ability to accurately record and report audit activities

Roles and responsibilities	
Conduct	<ul style="list-style-type: none"> ◆ Conduct audits against the FORS approved audit
Quality	<ul style="list-style-type: none"> ◆ Be fully prepared prior to the audit, specifically date, time and venue ◆ Prior to the audit review any previous audits reports and be familiar with the contents ◆ Write up and quality check the audit
Communications	<ul style="list-style-type: none"> ◆ Communicate considerately and effectively with the throughout the audit process ◆ Offer guidance to operators throughout the audit process ◆ Ask open ended questions, observe what is happening, record evidence both positive and negative, check availability of the procedures and conformance of them ◆ Provide the company with information regarding compliance issues and applicable regulation changes
Training	<ul style="list-style-type: none"> ◆ Attend competence and FORS awareness training as directed ◆ Highlight to the Certification Body/s any individual training and development needs

A6 Witnessed audit form

Basic details

Auditors name	
Date of witnessed audit	
Date of previous witnessed audit	
Auditors certification body	
Audited fleet company name	
Senior auditor name	

Audit

Did the auditor arrive on time?		
Was the auditor's attitude and appearance professional?		
Did the auditor fully understand and clearly explain the FORS Standard?		
Does the auditor show in-depth industry knowledge?		
Does the auditor have the knowledge to answer questions clearly and concisely?		
Does the auditor business develop for their company?		
Start time	Finish time	Duration

Auditor notes/overview (audit)

Recommendations for the auditor	
---------------------------------	--

I confirm that I witnessed this auditor undertaking an audit to the FORS standard in an impartial manner

Senior auditor's name	
Senior auditor's signature	
Date	

Post audit

Date completed audit was submitted	
No. of working days from audit to submission	
Quality and consistency of report ie spelling, punctuation etc	

Auditor notes/overview (post audit)	
-------------------------------------	--

Approval decision	Approve this auditor to audit against the FORS standard
<i>Strike through accordingly</i>	Recommend this auditor for further training prior to approval
Approver's name	
Approver's signature	
Date	

