

Fleet Operator Recognition Scheme

Requirements for Certification Bodies

Content

1	Introduction.....	1
1.1	Scheme administrator.....	1
2	Attaining approval to undertake FORS audits	2
2.1	Certification body acceptance criteria	2
2.2	Initial approval procedure.....	2
2.3	Re-approval procedure.....	2
2.4	Change of details.....	2
3	System requirements for certification bodies.....	3
3.1	General requirements	3
3.2	Organisational requirements.....	4
3.3	Operational requirements	5
3.4	Operating principles requirements	9
4	Disputes	12
4.1	Complaints and appeals to the scheme administrator.....	12
4.2	Discontinuation of approval to undertake FORS audits.....	12
5	Terms and references.....	14
Annex 1	Application to offer certification.....	15
Annex 2	Declaration of auditor competence.....	17
Annex 3	Person specification – auditor	20
Annex 4	Witnessed audit form	22
Annex 5	Complaints and appeals escalation process	24

1 Introduction

The primary purpose of this document is to describe the processes and requirements that certification bodies must apply and adhere to in order to offer FORS Bronze audit services on behalf of the Fleet Operator Recognition Scheme (FORS). Such certification bodies must be approved by the scheme administrator.

FORS is a method of recognising fleet operations who comply with the requirements of the FORS Standard. This document should be read in conjunction with the FORS Standard.

At the present time the scheme administrator will make all certification decisions, therefore the role of certification bodies is to undertake audit services only.

1.1 Scheme administrator

The Fleet Operator Recognition Scheme is administered by AECOM on behalf of 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

Email enquiries@fors-online.org.uk www.fors-online.org.uk

2 Attaining approval to undertake FORS audits

2.1 Certification body acceptance criteria

Organisations including trade associations, professional institutes, guilds and organisations providing audit services can apply to the scheme administrator to act as a certification body for FORS. Approval to do so is granted following a review of the applicant's operation as satisfactory against the requirements of this document.

The purpose of the requirements within this document is to ensure that all certification bodies operating this scheme offer a consistent high quality service.

2.2 Initial approval procedure

The following acceptance procedure will apply:

- a) a completed application form (Annex 1) and documentation to be sent to the scheme administrator for desk review
- b) company financial standing checks
- c) the scheme administrator shall witness a FORS audit with 100% of auditors witnessed in a year
- d) agreement to the commercial terms as set out by the scheme administrator

2.3 Re-approval procedure

On an annual basis, or following a review of any certification body changes notified to the scheme administrator, the certification bodies shall be audited by the scheme administrator. The audit will include:

- a) a desk review of all forms required in the initial approval procedure
- b) an audit of the back office operation as compliant with all of the requirements
- c) a witnessed audit and 100% of auditors witnessed in a year
- d) records of required KPIs and metrics sent to the scheme administrator
- e) a review of any complaints made against the certification body

2.4 Change of details

Certification bodies shall inform the scheme administrator in writing within 14 days should any of the following change:

- a) name
- b) address
- c) trading status
- d) trading name
- e) company ownership
- f) any other significant change that may affect the operation of the certification scheme

3 System requirements for certification bodies

Certification bodies operating FORS shall have a quality manual covering the system requirements shown here and implement that system for their FORS work (Figure 1).

For the certification body approval application the documents listed in Annex 1, which are core to the FORS work, shall be made available. Other documentation can be created as needed.

The following requirements shall be used in the audit of certification bodies by the scheme administrator.

3.1 General requirements

- a) Certification bodies shall operate a written management system which controls its activities, and show adequate control of their documentation related to this scheme
- b) The audit of fleet operators by certification bodies shall be undertaken against the requirements of the FORS Standard (this is available on the scheme administrator’s website www.fors-online.org.uk to the scheme rules defined in this document) for all vehicle types listed within the FORS Standard to Bronze level

- c) Certification bodies shall demonstrate evidence of having access to all referenced documents within the FORS Standard and make these available to auditors
- d) Certification bodies shall be a legal company (or part thereof)
- e) Certification bodies shall demonstrate that they have sufficient funds to finance and insure their operation following a written risk assessment of its potential liabilities over a three year certification cycle; this risk assessment shall be evaluated at each management review
- f) The certification decision and issue of certificates is the role of the scheme administrator
- g) Certification bodies shall pass all enquiries relating to general certification activities and requirements to the scheme administrator who is responsible for distributing this information
- h) Certification bodies are forbidden to undertake a FORS audit on any operator who they have provided pre-audit services for (or similar)

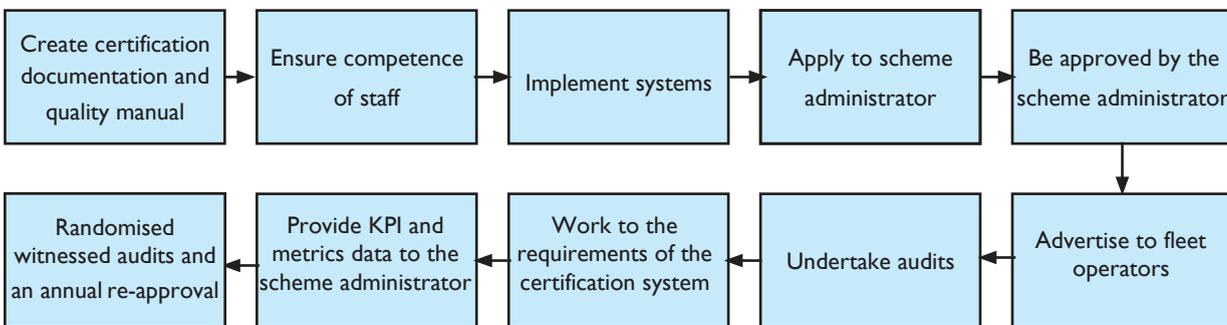


Figure 1 Key steps for certification bodies

3.2 Organisational requirements

3.2.1 Staffing General

- a) Certification bodies shall hold an up to date written organogram indicating structure, duties, responsibilities and authorities of all types of role involved in their certification activities which must at least include a separate certification manager and an auditor. Senior management (those with overall responsibility for the certification activities) personnel shall be named
- b) Role responsibilities for named individuals shall be defined in writing to cover the activities of:
 - i. development of policies relating to the operation of the body
 - ii. supervision of the implementation of the policies and procedures
 - iii. supervision of the finances of the body
 - iv. development of management system certification services and schemes
 - v. performance of audits and certification, and responsiveness to complaints
 - vi. delegation of authority to committees or individuals, as required, to undertake defined activities on its behalf
 - vii. contractual arrangements
 - viii. provision of adequate resources for certification activities
- c) Certification bodies shall have access to (either by direct employment or via contract) a sufficient number of auditors for their likely volume of work
- d) Senior management shall demonstrate the monitoring of auditor performance and react to rectify any issues
- e) Auditors may be subject to witnessing of an audit by the scheme administrator (Annex 4)
- f) Certification bodies shall review and

record the performance of auditors and technical specialists on an annual basis, and react to any deficiencies

- g) Certification bodies may utilise external auditors for audits if those auditors are managed in the same manner as employees. This requirement specifically includes the signing of impartiality agreements and notification of impartiality issues, and competence
- h) Certification bodies shall keep up-to-date personnel records for all staff involved in certification activities. This shall be contained in a table (see 3.2.2) and include their experience and any relevant consultancy services that they have provided in the area

3.2.2 Staff competency

- a) Certification bodies shall use competent staff for all elements of their work relating to this certification scheme
- b) Auditors shall be approved by the scheme administrator prior to work. Evidence of auditor competencies listed within Annex 2 shall be submitted to the scheme administrator for approval with the signed declaration for each individual auditor. A person specification for auditors is set out in Annex 3

Note: Auditors in training are permitted to attend audits as part of their training.

- c) Auditors must undertake specific auditor training
- d) Only auditors with all the required competencies shall be chosen as the lead auditor of any audit

Note: Audits may be undertaken by one person or a team.

Note: It is only a requirement for any audit team to hold all minimum competencies, not each individual on the audit team, provided the whole team attends the audit.

- e) Certification bodies shall ensure that all auditors understand the processes of their work and their responsibilities via recorded training (which may be in-house)
- f) Certification bodies shall have a written process for selecting, training, and formally authorising auditors and technical specialists

administrator for their review prior to March of the following year:

- i. Certification bodies may issue explanatory notes with their KPI and metrics data
- ii. KPIs may be altered by the scheme administrator at any time
- iii. No information which infringes the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679) shall be passed to the scheme administrator

3.2.3 Management

- a) Certification body senior management shall hold and document annual management reviews of their certification activity in relation to FORS (which shall include complaints and appeals) and undertake any necessary rectifications to their systems of work following such review

3.2.4 KPIs and metrics

- a) Certification bodies shall collate anonymised Key Performance Indicator (KPI) and metrics data summarised in Table 1, for the period 1 January to 31 December and pass it to the scheme

3.3 Operational requirements

3.3.1 General

- a) Certification bodies shall only assess the ability of fleet operators to meet the requirements for certification. It is the responsibility of fleet operators to conform to the requirements for certification, and not the responsibility of the certification body to assist them in conforming
- b) Certification bodies shall base audit recommendations upon sufficient objective evidence of conformity to the FORS Standard and no other factor (such as increased revenue from special audits)

Table 1 Key Performance Indicators

KPI	Reporting detail	Minimum acceptable performance
Time taken to deal with complaints	Working days from receipt of written complaint to resolution of complaint	No more than 10 working days
Time taken from application to quotation	Working days from receipt of initial application form to letter of quotation	No more than 5 working days
Number of audits carried out on time	Audits carried out within 1 month of expiry dates, and as an absolute figure and a percentage of all audits	100%
Metric	Reporting detail	
Number of enquiries	Number of requests for quotation for audit services	
Number of formal complaints	Number of written formal complaints made regarding the certification body	

- c) Certification bodies shall not make a certification decision and shall instead pass audit reports to the scheme administrator for a certification decision
- d) Certification bodies shall not issue certificates in relation to this scheme

3.3.2 Complaints

- a) Certification bodies shall be positively reactive to complaints and shall follow the procedure described in Annex 5 in the event of a complaint made to them
- b) Certification bodies shall provide complainants with the 'Complaints and appeals escalation process' set out in Annex 5

3.3.3 Information for clients

- a) Certification bodies shall make available free of charge any documentation produced by them and required by clients as a normal part of the certification process
- b) Certification bodies shall clearly display all their certification fees
- c) Applicants register their interest in FORS certification online via the FORS website. This information shall be passed to relevant certification bodies to inform them of the application details. Any further required information shall be requested directly
- d) Operators accredited by any FORS certification body will be entitled to use the FORS logo and the FORS benefits, subject to them complying with the FORS Terms and Conditions

3.3.4 FORS mark

- a) Approved certification bodies shall use the certification body-specific FORS mark indicated in Figure 2 on all FORS- related documentation and websites as per the FORS logo usage standard

The scheme administrator controls and has rights to issue the FORS mark, and should be contacted for reproduction- suitable copies

- b) Certification bodies shall report to the scheme administrator any discovered use of the FORS mark (by clients or otherwise) which is in contravention of the uses defined in the FORS logo usage standard

Figure 2 FORS certification body mark



3.3.5 Audit planning

- a) The geographical and fleet scope of any audit shall be determined

Note: The audit of one depot or fleet type does not automatically cover other depots or fleet types.

- b) Auditors shall review any immediately preceding client FORS audit checklist prior to any audit and take such information into account when determining their audit plan

- c) Payment for certification body services shall be payable in advance of works being undertaken in order that payment is not used to influence auditing

- d) Auditors shall complete 100% of the audit checklist as a record of the audit and each text field box within the audit checklist shall be completed

3.3.6 Auditing

- a) Auditors shall review a random sample of client driver and vehicle records for conformity at all audits dependent on fleet size:
 - ◆ 1-3 vehicles - 100% of vehicle records will be checked
 - ◆ 4-10 vehicles - 3 vehicle records will be checked
 - ◆ 11-20 vehicles - 20% of vehicle records will be checked
 - ◆ 21+ vehicles - at least 5 vehicles will be checked
- b) All completed requirements within the audit report form shall be as per Table 2. Please see the Fleet Operator Recognition Scheme Standard document for the audit report form
- c) A copy of the completed audit checklist will be discussed with the client at a closing meeting at the end of any audit¹

3.3.7 Post-audit processes

- a) A person within the certification body other than any auditor involved with a given audit shall review the contents of any completed audit checklist prior to forwarding to the scheme administrator
- b) Any audit checklist shall be completed and emailed to the scheme administrator in electronic format within 5 working days
- c) Certification bodies shall report any misuse of the FORS scheme marks or wording to the scheme administrator, this may involve the review of client paperwork and vehicles bearing the FORS logo
- d) Certification bodies shall immediately inform their client of the scheme administrator's certification decision

Table 2 Requirement status reporting

Reporting	Usage
Pass	Yes shall only be used where the requirement is met in full
Pass with comments	Partial shall be used where the requirement is only partially
Fail	Shall be used where the requirement is not met at all
Not Applicable	Shall be used in cases where the requirement is specific to irrelevant vehicle types or where the requirement has been deliberately missed as part of a re-approval audit plan

¹ An electronic version of the audit checklist will be made available by the scheme administrator to certification bodies on request. Certification bodies are not permitted to use a modified version of this checklist

3.3.8 Re-approval audits

- a) FORS bronze operators need undergo the re-approval audit every year with no mid-term activity
- b) FORS Silver and Gold operators need only undergo the re-approval audit every two years. Note that the data report required of FORS Silver and Gold members is to be reviewed on an annual basis
- c) Re-approval audits shall be undertaken at least 30 calendar days but no more than 60 calendar days before the accreditation expiry date
- d) Re-approval audit reports shall use the usual audit checklist however include written justification for any parts not included in the audit

3.3.9 Follow-up audits

- a) An action plan shall be issued to operators which do not meet all of the requirements of an audit
- b) Follow up audits do not require a site visit when action point completion can be evidenced by sent documentation
- c) Follow up audits for action point reports shall use the action plan template to record evidence of meeting requirements

3.3.10 Record keeping

- a) The following records shall be retained:
 - i. KPIs and metrics
 - ii. Auditor and technical specialist performance
 - iii. Personnel consultancy work
 - iv. Personnel training
 - v. Audit reports
 - vi. Client details
 - vii. Complaints and appeals

- b) Certification bodies shall retain records for a period of 6 years
- c) Certification bodies shall address any details changes notified to it by a FORS operator as per the 'Fleet Operator Recognition Scheme Standard Rules and Procedures Manual'. Certification bodies shall inform the scheme administrator of any changes notified to it by a FORS operator

3.3.11 Suspensions and withdrawals

- a) It is not within the remit of certification bodies in this scheme to suspend a fleet operator from this scheme or reduce their scope of certification
- b) Where a fleet operator withdraws their certification voluntarily i.e. mid-term, not at the end of the certification period:
 - i. Certification bodies shall request to fleet operators that this is informed in writing to the certification body with a date of withdrawal
 - ii. The certification body shall immediately inform the scheme administrator

3.3.12 Complaints and appeals

- a) Certification bodies utilise the complaints procedure detailed in Annex 5 when an amicable solution cannot be found via normal communication methods or where specifically requested by any party
- b) Complaints to a certification body regarding the certification scheme itself or scheme administrator should be passed directly to the scheme administrator
- c) Certification bodies may not make any financial charge in relation to the complaints and appeals process

- d) Records of complaints and appeals must be made available for review by the scheme administrator

3.4 Operating principles requirements

- a) Certification bodies shall operate in a manner which inspires confidence by operating to the following principles in all of its actions:
 - i. Impartiality
 - ii. Competence
 - iii. Responsibility
 - iv. Openness
 - v. Confidentiality
 - vi. Responsiveness to complaints
- b) Certification bodies shall demonstrate through their written policies and systems of work that they do not allow any source of impartiality to affect their audit services or reporting, which can include but is not limited to
 - i. acting in self-interest, such as self-certification or certifying a related company
 - ii. individuals auditing a former or future (within two years) consultancy client
 - iii. intimidation and familiarity
- c) Impartiality issues shall form part of management reviews
- d) Certification bodies shall keep confidential, and have a written policy to cover, all information found during their interaction with a client (except for the passing of the audit report to the scheme administrator)
- e) Certification bodies shall have a written commitment to impartiality available, and manage impartiality and conflict of interest via a written impartiality risk register
- f) Certification bodies which also offer consultancy services within the same

umbrella organisation shall demonstrate a clear separation of audit/certification staff from consultancy services staff and operate in an impartial manner which removes undue influence on the audit/certification activity

- g) Certification bodies shall not outsource any part of their certification operation, except to contracted auditors
- h) Certification bodies shall not market or link their certification in any way to an organisation which provides management system consultancy
- i) Certification bodies shall ensure that all parties with access to client information (such as management, the certification manager, auditors, external auditors, administration staff) sign a confidentiality agreement covering the duty to keep all information gained during an audit confidential and not to use it for commercial or other gain
- j) Certification bodies shall not hold any information regarding a fleet operator in relation to this scheme for longer than 6 years and shall follow the requirements of the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679)
- k) Certification bodies shall have the following active policies:
 - i. an information and data security policy
 - ii. a health and safety policy (which specifically covers risks to persons on site visits)
 - iii. an environmental policy
 - iv. an equality and inclusion policy

4 Disputes

4.1 Complaints and appeals to the scheme administrator

The complaints and audit appeals procedure set out in Annex 5 can be invoked at step four by a certification body wishing to make a complaint against the scheme administrator or wishing to appeal against a decision made by the scheme administrator. If no amicable solution can be found via normal communication methods the complaint may be escalated to the FORS Governance and Standard Advisory Group (GSAG).

4.2 Discontinuation of approval to undertake FORS audits

4.2.1 Voluntary

Certification bodies may leave the scheme at any time. The scheme administrator shall be notified of this in writing at least 3 months prior to the voluntary cancellation of approval.

4.2.2 Involuntary

The scheme administrator in consultation with the Governance and Standards Advisory Group (GSAG) may, in certain circumstances withdraw a certification body's approval to operate the certification scheme. In such cases the following procedures will be undertaken in the following order:

- a) the scheme administrator will clearly identify in writing to the certification body the reasons for concern
- b) requirement for the certification body to undertake and prove corrective action
- c) suspension of the certification body

- d) involuntary discontinuation of the certification body approval

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

- i. a serious complaint that cannot be resolved
- ii. a failure to comply with the requirements of this document
- iii. a change in legal structure or ownership that might introduce a conflict of interest not capable of being satisfactorily managed
- iv. any case of gross misconduct being proven against the certification body or failing to follow the correct certification procedures
- v. being inactive for a period of 12 months
- vi. becoming financially insolvent or entering into administration

4.2.2.1 Corrective action

Corrective action may be considered as actions which are undertaken to correct any breakdown in the operation of the certification scheme by an approved certification body. Certification bodies are under a duty to undertake corrective actions and to prove these to the scheme administrator. A failure to undertake corrective action within 20 working days (or any longer agreed timescale) will result in suspension.

4.2.2.2 Suspension

Action arising from failure to undertake the required corrective action can result in the certification body being suspended from offering FORS audits, whereby the certification body will be prevented from offering audits until such time as corrective action has been implemented and proved. A failure to undertake corrective action during suspension within 20 working days (or any longer agreed timescale) will result in involuntary discontinuation of approval.

4.2.2.3 Involuntary discontinuation

Certification bodies which fail to undertake corrective action during suspension will have their approval to offer FORS audits withdrawn, upon which the certification body must cease all activity relating to the FORS certification scheme, including existing clients.

All certification clients and applicants in progress will be informed by the scheme administrator of the alternative certification bodies available.

5 Terms and references

Phrase	Meaning
Action points	A record of an incidence of non-compliance with the FORS requirements
Audit services	Services in relation to the auditing of clients, including quotations, auditing, reporting, and complaint resolution
Certification	The act of certifying a fleet operation as currently operating in a manner compliant with the FORS
Certification body	Those organisations approved by the scheme administrator to undertake audits to the FORS Standard
Certification scheme document	Any document which describes how the scheme is operated (i.e. any scheme related document which is not the FORS requirements)
Enhanced audit	An audit convened to observe the correction of any found non-conformity
Fleet operator	An economic entity which operates a vehicle fleet
Fleet Operator Recognition	The recognition scheme described in this document, which is a fleet operations certification scheme.
Follow up audit	An audit convened to observe the correction of any found action point
FORS	An acronym for 'Fleet Operator Recognition Scheme'
FORS agreement	A contractual agreement between the scheme administrator and the fleet operator
FORS mark	The Fleet Operator Recognition Scheme mark, as described in the 'FORS logo usage standard'
FORS Standard	The sections of the Fleet Operator Recognition Scheme requirements document holding the requirements to be met by certified FORS operators
Governance and Standards Advisory Group	A committee of competent persons which oversee the activities of the scheme and the scheme administrator
Initial audit	A first audit of a fleet operator
Re-approval audit	A periodic audit of a FORS certified fleet operator or auditor
Scheme administrator	The body responsible for administering FORS
Witnessed audit	An audit which is witnessed by a representative of the scheme administrator
Witnessed auditor	An auditor who has been witnessed undertaking a FORS audit and is deemed competent in doing so by a representative of the scheme administrator and issued

Annex 1 Application to offer certification

The purpose of this application form is to allow certification bodies to apply to the scheme administrator to offer audit services in relation to FORS. The signing of this document binds the certification body to the processes defined in this document, *Requirements for Certification Bodies*. Your completed application should be forwarded to the scheme administrator listed in section 1.1, and shall be accompanied by all elements in outlined in section 3

Supporting information shall be attached where necessary.

Name of certification body		Office use
Certification body address (to be used in all correspondence)		Office use
Company representative (to be used in all correspondence)		Office use
Telephone number		Office use
Email		Office use
Approximately how many FORS audits are you capable of undertaking in your first year of		Office use
Have you implemented all of the required systems stated within the FORS Requirements for Certification Bodies document?		Office use
When will your company be available for an initial approval review by the scheme		Office use
Does your company agree to all terms and conditions outlined within the FORS Requirements for Certification Bodies document and all documents cited within it?		Office use
What is the company core business and do you offer consultancy?		Office use
Signature of Company Director		Office use
Print		Office use
Date		Office use

Applicants are also required to be submit with the application the following document (note that the *System requirements for certification bodies* section reference may be used to understand more regarding the content of each document).

Document to be submitted	Your reference
Auditor monitoring report	
Client application form	
Complaints document	
Confidentiality agreement	
Confidentiality policy	
Environmental policy	
Equality and inclusion policy	
Financial liability risk assessment	
Health and Safety policy	
Impartiality agreement	
Impartiality policy	
Impartiality risk register	
Information and data security policy	
Management System document	
Organogram	
Roles and responsibilities	
Staff competency assessment plan	
Staff competency matrix	
Staff selection policy	
Staff training plan	
Statement of impartiality	
Template audit plan	

Annex 2 Declaration of auditor competence

Each auditor is required to receive scheme administrator approval prior to starting work as an auditor. 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	
Auditor name	
I hereby declare that the auditor meets all relevant competency requirements (company	
Company representative signature	
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

Auditor name		
Requirement	Evidence	
Qualifications / Education/ Training:		
◆ Certificate of Professional Competence	<input type="checkbox"/>	
◆ Quality Systems management and auditing	<input type="checkbox"/>	
Personal attributes		
◆ 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	<input type="checkbox"/>	
Knowledge		
◆ 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	<input type="checkbox"/>	
Skills and Competencies:		
◆ Excellent interpersonal skills with the ability to work and communicate with a diverse range of professional at all	<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	<input type="checkbox"/>	
Sector specific experience:		
◆ 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	<input type="checkbox"/>	
General experience		
◆ Experience of quality management systems and processes	<input type="checkbox"/>	
◆ Ability to verify the accuracy and relevance of data	<input type="checkbox"/>	
◆ Ability to accurately record and report audit activities	<input type="checkbox"/>	

Audit system competency

◆ How many qualified auditors are employed?	
◆ 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	
◆ Is there evidence of ongoing auditor training, audit the auditor or refresher training in place?	
FORS auditor comments	

Annex 3 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
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

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

Annex 4 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	

Annex 5 Complaints and appeals escalation process

Introduction

FORS companies who feel they have not been treated fairly by the scheme administrator or their certification body may decide to raise a formal complaint where the issue cannot be amicably resolved. This document sets out the protocol to be followed by companies wishing to raise a complaint against the scheme or to appeal against a decision made by the scheme.

The complaints process is also outlined in the FORS Standard Rules and Procedures manual and the FORS Compliance and Enforcement Manual.

Step by step process for operators (also see Figure A)

Complaints	Audit appeals
<ol style="list-style-type: none"> 1. You must write to the scheme administrator or your certification body or using the words 'Official FORS complaint' in the letter or email title 2. The scheme administrator will send you an acknowledgement and a copy of this process document which shall be followed to investigate your complaint 3. Within five working days of receipt of the complaint the scheme administrator or certification body will formally respond offering a resolution 	<ol style="list-style-type: none"> 1. You must write to the scheme administrator or certification body or using the words 'Official FORS complaint' in the letter or email title 2. The scheme administrator will send you an acknowledgement and a copy of this process document which shall be followed to investigate your audit appeal 3. The scheme administrator will forward the complaint to the senior auditor at the certification body. Within 10 working days of receipt of the complaint the scheme administrator or certification body will formally respond offering a resolution
<ol style="list-style-type: none"> 4. If you are not satisfied with the response and wish to pursue the matter further you may appeal with 'Official FORS complaint' in the letter or email title and request that the issue be referred to senior personnel of respective parties 5. Within five working days of receipt of the request to refer the matter to senior personnel the scheme administrator or certification body will formally respond 6. If you are still not satisfied with the response and wish to pursue the matter further you may appeal with 'Official FORS complaint' in the letter or email title and request that the issue be escalated to the FORS Governance and Standards Advisory Group (GSAG) 7. The scheme administrator will convene a panel of three nominated GSAG members. Each member of the panel will be sent all documentation relating to the complaint and will be asked to independently review the evidence and respond in writing with their recommendation 8. Within 10 working days the GSAG panel will reach a majority decision and the scheme administrator will notify you of the outcome of the appeal. The decision made by the GSAG panel is final 	

Step by step complaints and audit appeals escalation process

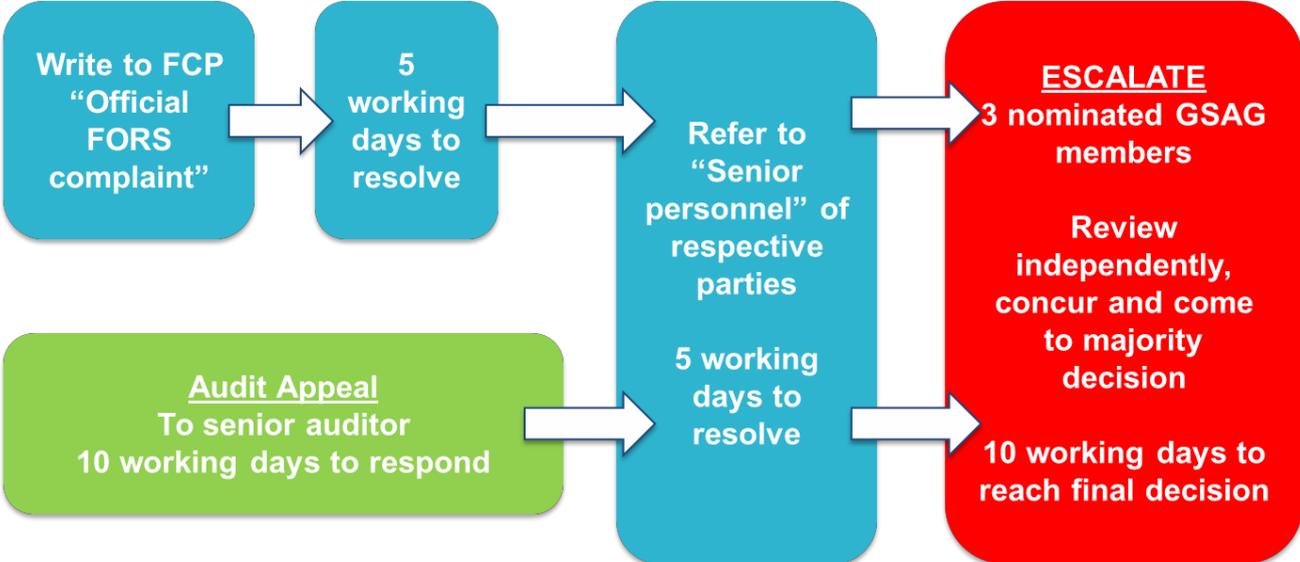


Figure A: FORS Complaints and audit appeals escalation process

