

Auditee guidance for FORS Bronze remote audits

A step-by-step guide for FORS auditees managing FORS Bronze remote audits

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1. Introduction

Purpose of this guide

This guide is designed to help you undertake your remote Bronze audit. It includes useful information about the type of evidence required to meet each requirement of the FORS Standard and how to upload additional evidence.

What is a remote audit?

A remote audit is an audit that is conducted online via a video call between you and a FORS auditor. It is held on the audit date agreed between your organisation and the FORS audit provider. You will need to have a laptop/computer with a working camera and microphone and will be asked to provide your evidence either by sharing screen or by presenting the relevant evidence to the camera during the audit video call.

If the auditor requires additional evidence to support the audit, they will verbally request at the time of the audit for this information to be uploaded to the Bronze evidencing portal. All additional evidence shall be uploaded to the portal and shall not be emailed directly to the audit provider. Details of how to upload the supporting evidence to the portal can be found in this document.

2. What if I have been asked to upload additional evidence?

You will only be able to upload additional evidence if your auditor has notified you at the time of the audit that you will need to provide this.

File formats

The Bronze evidencing application allows the following file formats to be uploaded
docx, xls, xlsx, txt, csv, pdf, png or jpeg

File size

The Bronze evidencing application allows files of less than 10 MB per document to be uploaded.

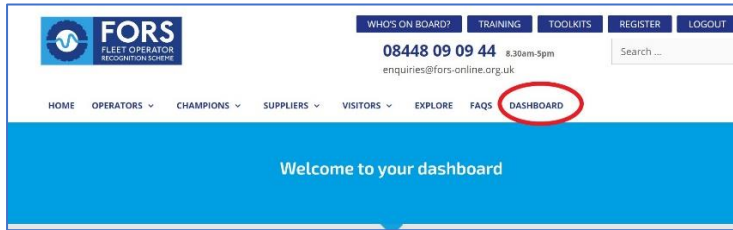
Time Scale

If your auditor has requested that you upload additional evidence at the time of the audit, then you will have until midnight on the next working day that follows your audit to do this. You will **not** receive a notification reminding you to do this.

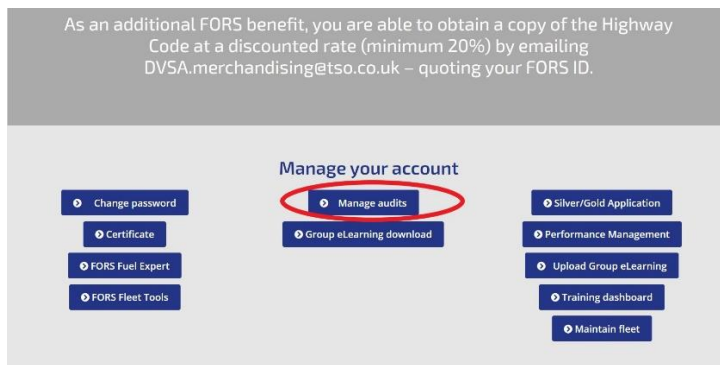
Day of audit	Access open to upload information	Access closed
Monday	Midnight on Monday	Midnight on Tuesday
Tuesday	Midnight on Tuesday	Midnight on Wednesday
Wednesday	Midnight on Wednesday	Midnight on Thursday
Thursday	Midnight on Thursday	Midnight on Friday
Friday	Midnight on Friday	Midnight on Monday (if Monday is a bank holiday this will be Tuesday)
Saturday	Midnight on Saturday	Midnight on Monday (if Monday is a bank holiday this will be Tuesday)
Sunday	Midnight on Sunday	Midnight on Monday (if Monday is a bank holiday this will be Tuesday)
Monday (bank holiday)	Midnight on Monday	Midnight on Tuesday

How to upload additional evidence

1. Log in to the dashboard



2. Select 'manage audit'



3. Select continue application

If your FORS accreditation has expired, please read this message:

Because of the temporary cessation of FORS audits due to the coronavirus pandemic, you have not been downgraded. However, please note that irrespective of the date of your next audit your existing annual accreditation date will be maintained.

Request Audit

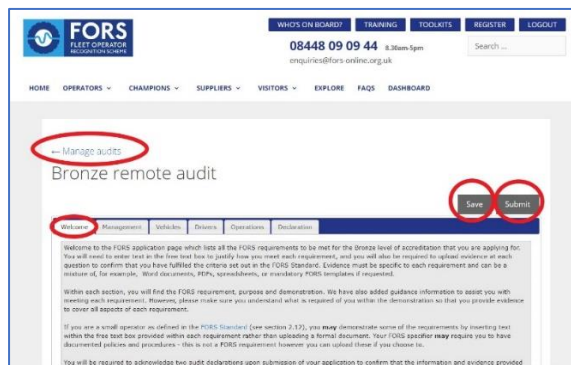
Bronze remote audit applications

Audit type	Created date	Video call date	Status
SOCA Re-approval	14/10/2020 13:51	25/09/2020	Completed
SOCA Re-approval	16/10/2020 08:52	16/10/2020	Continue application

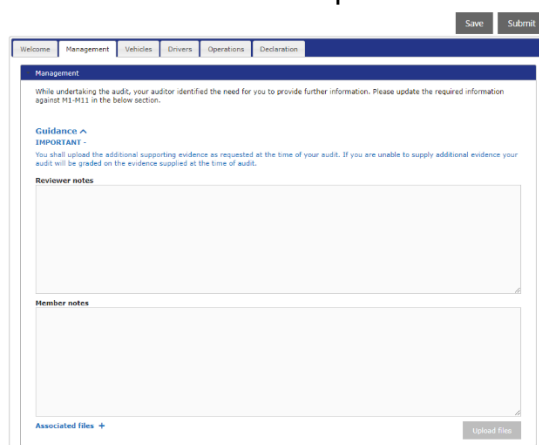
Audit details

Navigate around your application

- Clicking the 'manage audits' text on the top left will take you back to the previous page,
- Clicking on the 'Save' button will save your Bronze evidencing application – please do this regularly to save your work
- Clicking on 'Submit' will submit your Bronze evidencing application to be assessed– **Only do this when you are ready to submit your additional evidence to the auditor.**
- Clicking on the **Welcome, Management, Vehicles, Drivers** and **Operations** tabs will allow you to navigate around the application



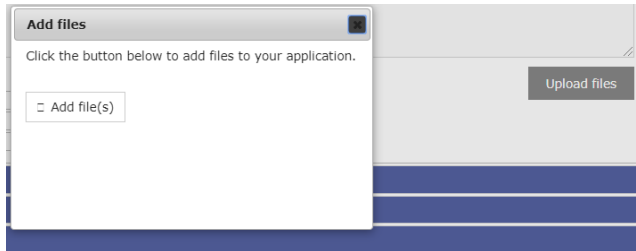
You will now be able to see the full details for each section. You will need to click into each of the Management, Vehicle, Drivers and Operations tabs in order to read the auditors comments. You will have until midnight on the working day after the audit to be able to upload the additional evidence that has been requested.



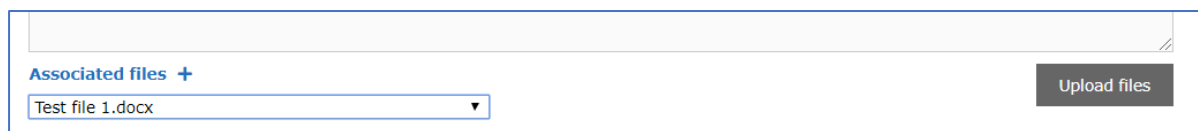
You can enter text into the member notes section and upload the additional files as outlined below

How do I upload a file?

1. Click on upload file
2. Click on add files



3. Navigate to your file on your computer, select the file you wish to upload
4. Your file will now show in the box under associated files –
NB if it does not then you will receive an error message, please see the section above on accepted file types and sizes to ensure your file uploads correctly

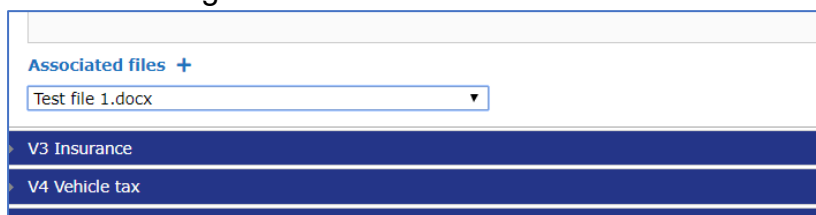


5. Repeat this for each file you need to upload

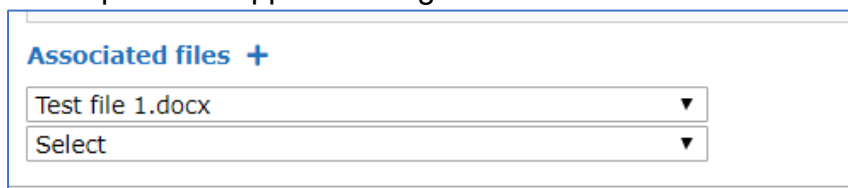
Reusing the same file

If you are using the same file in several sections – such as the ‘vehicle loading policy’ for both V5.1 and V5.3 then you can select an already uploaded file instead of uploading it again.

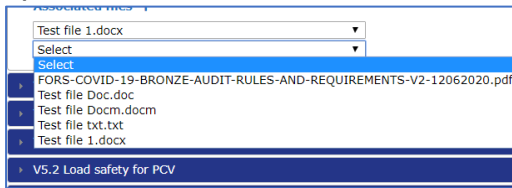
1. Click the ‘+’ sign next to ‘Associated file’



2. A file space will appear stating ‘select’



3. Select the dropdown arrow. Choose the file that you have **previously** uploaded and want to 'associate' with this section.



4. Repeat this process for each file you wish to 'associate'

Saving

It is important that you click save on your application regularly, we would recommend saving it every 10 mins, this is to ensure you do not lose any of your work.

Only one person may edit the application at a time. This is to prevent work being overwritten or lost.

Undo / Redo keyboard shortcuts

Ctrl + Z to undo the last action, this works for the last 2 actions only

Ctrl + Y to redo the last action that you carried out

3. How to evidence each requirement

A small operator is defined in the FORS Standard (Section 2.12) as an organisation with fewer than five vehicles **and** fewer than five employees.

The information below lists each requirement and the evidence that is required to be provided to meet each requirement.

(*) denotes items that a small operator is required to upload.

Requirement	Document/evidence description	Operator	Small Operator (*)
M1 FORS Documentation	Evidence of any management meetings within the previous 12 months. This can be copies of minutes of the meeting(s) held to include a review of your transport operation. FORS does not require to see the full minutes, only what is relevant to the FORS accreditation	y	y
M2 Records	Evidence of Drivers' hours records (for all vehicle types) (*)	y	y
	Evidence of Working Time Directive Hours (for all vehicle types) (*)	y	y
	How long nil defect reports are kept for (for all vehicle types) - this could be evidence of your nil defect reports for the required period of time (*)	y	y
	How long vehicle records are kept for (for all vehicle types) - this could be evidence of your PMI reports, vehicle servicing, service book stamps, maintenance reports for the required period of time (*)	y	y
M3 Responsible person	Evidence of the relevant manager competency, such as a CPC management qualification, or the relevant mandatory FORS Professional or FORS Approved management training for the appointed person (*)	y	y
M4 Staff resources	Job roles and responsibilities for drivers and all roles involved in the transport operation	y	
	Organisation chart showing links between directors/operational staff and drivers - this shall include naming the champions, number of drivers and number of managers involved in the transport operation	y	

Requirement	Document/evidence description	Operator	Small Operator (*)
	A copy of your recruitment and selection procedure - this shall include driver assessments where relevant	y	
	Evidence of pre-employment checks, including fitness to drive and eligibility to work, qualifications and licensing (*)	y	y
M5 Communication	A copy of your Drivers' Handbook and supporting documents. If this is a third-party document, for example RHA/FTA/MQP handbook, this can be evidenced at the time of audit	y	
	Evidence of confirmation of receipt of the Drivers' Handbook from all drivers	y	
	Evidence of communication to all drivers and transport related staff, for all the required policies, procedures and risk assessments	y	
M6 Vehicle fleet	The vehicle fleet list, including all vehicle registration mark, as per the above demonstration (*)	y	y
M7 Regulatory licensing	A copy of the procedure	y	
	A copy of your Operator Licence including any conditions and undertakings (where applicable) (*)	y	y
	Evidence of how the organisation has reviewed and notified the relevant bodies for all licences and permits held or required by the company - this could be the minutes of your management meetings	y	
	A copy of all of your regulatory licences including (where applicable) waste carriers' licence, section 19 or 22 permits (not-for-profit passenger transport) or private hire licence (where applicable) (*)	y	y
	Evidence of your organisation's name as listed at Companies House (where applicable) (*)	y	y
	Evidence of the directors listed at Companies House (where applicable) - this could be a screenshot of the Companies House page listing your organisations directors (*)	y	y

Requirement	Document/evidence description	Operator	Small Operator (*)
	Evidence of satisfaction of any additional undertakings such as a requirement to undertake a transport manager refresher course, a requirement to employ a new transport manager or any additional undertakings applied (where applicable) (*)	y	y
M8 Health and safety	A copy of your policy and procedures	y	
	Completed risk assessments and evidence of communication to your drivers and transport related staff, for all 8 health and safety risk assessments	y	
	Completed risk assessments and evidence of communication to your drivers and transport related staff, for all 8 operational and driving at work risk assessments - these may be written as a method statement	y	
	Evidence of your near-miss reporting system - this could be a spreadsheet or a screenshot of an online reporting system	y	
	Evidence of where your health and safety policy is displayed in the workplace - this could be a photo	y	
M9 Complaints	A copy of your policy and procedures	y	
	Evidence of your policy regarding grievances from members of staff	y	
	Evidence of communication of the policy to drivers and transport related staff	y	
	Evidence of any legal action against the company (*)	y	y
	Evidence of the complaints recording and investigation system, this may be a spreadsheet or other system used	y	
	Evidence of complaint resolution, trend analysis and improvement actions taken	y	

Requirement	Document/evidence description	Operator	Small Operator (*)
M10 Transport infringements	A copy of your policy and procedures	y	
	Evidence of communication of the policy to drivers and transport related staff	y	
	Evidence of the system in place to record investigate and monitor all transport related breaches and offences	y	
	Evidence of infringements including the control measures implemented and corrective action taken place	y	
	Evidence any notices or outcomes of Public Inquiries (*)	y	y
M11 Transport updates	Evidence of keeping up-to-date with industry developments - this could be FORS bulletins, subscriptions to DVSA Moving On blog, scheme bulletins such as LoCITY and CLOCS, membership to a professional body or relevant trade association (*)	y	y
	Evidence of how relevant industry changes are communicated to drivers and transport related staff - this could be via staff notice boards, driver briefings or any other way that will show how you are communicating to drivers (*)	y	y
V1 Serviceability and roadworthiness	A copy of your policy and procedures	y	
	Vehicle documents such as PMI's, Tachograph Calibrations, MOT's VED, LOLER Certificates – vehicle documents will need to be shown at the time of the audit video call		
	Evidence showing that the policy has been communicated to your drivers	y	
	A copy of the maintenance agreement with your provider or if the maintenance is undertaken in-house, a declaration that the facilities and staff competence are adequate for the size of the operation (*)	y	y

Requirement	Document/evidence description	Operator	Small Operator (*)
	A copy of the organisation's inspection and maintenance plan for all vehicles in scope of your accreditation. This shall include a minimum of 6 months forecast for all inspection and maintenance tasks (*)	y	y
V2 Daily walkaround checks	A copy of the walkaround check procedure	y	
	Confirmation that all drivers have been made aware of their legal responsibility to carry out walkaround check and defect reporting	y	
	Vehicle walk around checks or defect rectification evidence, these documents will need to be shown at the time of the audit video call		
	Evidence of training carried out if drivers are expected to carry out minor repairs (*)	y	y
	Evidence that the walkaround check covers the serviceability and fitment of vehicle safety equipment (*)	y	y
V3 Insurance	Evidence of valid insurance that includes the policy number, the indemnity amount, expiry date and the insurer for vehicle insurance documents covering all vehicle types and drivers in your fleet (*)	y	y
	Evidence of valid insurance that includes the policy number, the indemnity amount, expiry date and the insurer for Employers' liability (*)	y	y
	Evidence of valid insurance that includes the policy number, the indemnity amount, expiry date and the insurer for Public liability (*)	y	y
	Evidence of valid insurance that includes the policy number, the indemnity amount, expiry date and the insurer for Goods in transit (*)	y	y
	Evidence of valid insurance that includes the policy number, the indemnity amount, expiry date and the insurer for Professional indemnity (*)	y	y

Requirement	Document/evidence description	Operator	Small Operator (*)
	Evidence of valid insurance that includes the policy number, the indemnity amount, expiry date and the insurer for Any other type of insurance that is required by the business to operate (*)	y	y
V4 Vehicle tax	A copy of your procedure	y	
	Evidence of your planner or register that includes vehicle tax requirements, vehicle tax expiry dates, vehicle tax payments, and vehicle tax exemptions (*)	y	y
	Evidence of any SORN vehicles (*)	y	y
V5.1 Load safety for HGV	A copy of your policy	y	
	Evidence that the policy has been communicated to all drivers	y	
	Evidence that training has been provided to drivers regarding safe loading and load restraint (*)	y	
	Evidence of relevant in-cab height markers (where applicable) (*)	y	
V5.2 Load safety for PCV	A copy of your policy	y	
	Evidence that the policy has been communicated to all drivers	y	
	Evidence that training has been provided to drivers regarding safe stowage of luggage, maximum passenger carrying capacity, and the location and restraint of any accessibility equipment (*)	y	y
	Evidence of relevant in-cab height markers (where applicable) (*)	y	y
V5.3 Load safety for vans	A copy of your policy	y	
	Evidence that the policy has been communicated to all drivers	y	
	Evidence that training has been provided to drivers regarding cargo loading safety and cargo weight distribution (*)	y	y

Requirement	Document/evidence description	Operator	Small Operator (*)
	Evidence of relevant in-cab height markers if the vehicle or trailer height exceeds 9 feet 10 inches (*)	y	y
V5.4 Load safety for cars	A copy of your policy	y	
	Evidence that the policy has been communicated to all drivers	y	
	Evidence that training has been provided to drivers regarding safe and secure loading (*)	y	y
V5.5 Load safety for P2W	A copy of your policy	y	
	Evidence that the policy has been communicated to all riders	y	
	Evidence that training has been provided to drivers regarding safe and secure loading	y	
V6 Vehicle safety equipment	Evidence of the vulnerable road user safety equipment fitted to all vehicles. (*)	y	y
V7 Tyre management	A copy of your policy	y	
	Evidence that the policy has been communicated to all drivers	y	
	Evidence of a formal written contract with your tyre fitting service or other supporting documentation OR a declaration regarding staff competence and facilities as detailed in the demonstration above (*)	y	y
	Evidence that your tyre recycling and disposal is in accordance with local waste regulations - this could be a waste carriers licence of your tyre disposal company (*)	y	y
D1 Licensing	A copy of your procedures	y	
	Evidence of driving licence checks for all of your drivers, demonstrating that the checks have been carried out at least every 6 months since your last Bronze audit (as per M2) - this could be screenshots of the third party system (for example FORS Driver Licence Checking Service) or documents downloaded from the DVLA licence check service (*)	y	y

Requirement	Document/evidence description	Operator	Small Operator (*)
	Evidence that your drivers are required to report licence endorsements and infringements to the responsible person whether occurred on or off duty	y	
	Evidence that checks are carried out on digital tachograph driver cards and driver qualification cards (where applicable) (*)	y	y
D2 Driving Standards	A copy of your policy	y	
	Evidence that all drivers have access to and read and understood the company policy on driving standards	y	
	Evidence that all drivers have access to and read and understood the current version of The Highway Code (*)	y	y
	Evidence that all drivers have access to read and understood the official road user guide or code of practice for all non-UK based operations (where applicable) (*)	y	y
D3 Staff induction	Evidence of your staff induction programme as detailed in the demonstration above (*)	y	y
	Evidence of completed staff inductions	y	

Requirement	Document/evidence description	Operator	Small Operator (*)
D4 Professional development	Evidence that all drivers have completed the required training (see Annex 1 of the FORS Standard for details of the mandatory training for the drivers). This can be copies of certificates or a screenshot or export from the FORS Professional Training Register into a CSV file (*)	y	y
	Evidence that all appointed managers with direct accountability for the fleet have completed the required training (see Annex 2 of the FORS Standard for details of the mandatory training required). This can be copies of certificates or a screenshot of the FORS Professional Training Register, or using the FORS Training dashboard (please check the relevant guidance to ensure your records are correct, otherwise you may fail the requirement) (*)	y	y
	A copy of your Professional Development Plan (PDP) to demonstrate the training planned ahead for your drivers AND other staff involved in the fleet operation	y	
D5 In-vehicle communication	A copy of your policy and procedure	y	
	Evidence that the policy and procedure has been communicated to all drivers	y	
D6 Health and eyesight	A copy of your policy and procedures	y	
	Evidence that the policy and procedures have been communicated to all drivers	y	
	Evidence of eyesight checks for all of your drivers, demonstrating that the checks have been carried out at least every 6 months since your last Bronze audit (as per M2) (*)	y	y
	Evidence of any eyesight checks undertaken following a blameworthy road traffic collision (where applicable) (*)	y	y
	Evidence of remedial action taken following a failed eyesight check (where applicable) (*)	y	y
	Evidence that all drivers have completed a driver health and fitness declaration (*)	y	y

Requirement	Document/evidence description	Operator	Small Operator (*)
D7 Working time and drivers' hours	A copy of your policy and procedures	y	
	Evidence that the policy and procedures have been communicated to all drivers	y	
	Evidence a selection of drivers' hours records for the last 12 months - this includes LCV and car drivers (*)	y	y
	Evidence a selection of working time directive hours records for the last 24 months (*)	y	y
	Evidence a selection of driver infringements (where applicable) (*)	y	y
	Evidence of missing mileage investigations (where applicable) (*)	y	y
O1 Routing	A copy of your procedures	y	
	Supporting documentation evidencing the systems you utilise for route management (where applicable)	y	
	Evidence of any training conducted regarding routes and any evidence that route briefings are taking place (where applicable)	y	
O2 Fuel, emissions and air quality	A copy of your policy and procedures	y	
	Evidence that the policy and procedures have been communicated to all drivers	y	
	Evidence how you monitor, record and manage fuel, emission data and air quality control - this shall be by vehicle and fuel type and include AdBlue (where applicable)	y	
O3 Road traffic collisions	A copy of your policy and procedures	y	
	Evidence that the policy and procedures have been communicated to all drivers	y	
	Evidence how you monitor, record and manage incidents and near misses	y	

Requirement	Document/evidence description	Operator	Small Operator (*)
	Evidence any wellbeing and competency checks carried out following an incident or near miss (*)	y	y
O4 Passenger safety	A copy of your policy	y	
	Evidence that the policy has been communicated to all drivers	y	
O5 Specialist operations	A copy of your policy and procedures (*)	y	y
	Evidence that the policy and procedures have been communicated to all drivers (*)	y	y
	Evidence of the DGSA's vocational qualification (where applicable) (*)	y	y
	Evidence of the Drivers ADR certificates (where applicable) (*)	y	y
	Evidence of completed STGO movement orders, and the system used such as ESDAL (where applicable) (*)	y	y
O6 Operational security	A copy of your policy and procedures	y	
	Evidence that the policy and procedures have been communicated to all drivers	y	
O7 Counter terrorism	A copy of your policy and procedures - if you have uploaded a joint security and counter terrorism policy in section 'O6 Operational security', you do not need to upload it here. You shall make sure that your policy addresses all requirements in both O6 and O7	y	
	Evidence that the policy and procedures have been communicated to all drivers	y	