

Fleet Operator Recognition Scheme

Requirements for Audit Providers

Version 5

17 February 2022

Summary of changes

Reference	Description of changes between versions 4 and 5
Throughout	Terminology changed throughout to reflect change in FORS Administrator
1 Introduction	Re-emphasis that Audit Providers are not a FORS Certification Body
1.1 FORS Administrator	Amended to signpost Sopra Steria Limited as the FORS Administrator
3.2.1 Staffing general	Re-introduced the term FORS Senior Auditor
3.2.4 KPIs and metrics	Amended to include relevant service agreements in the FORS contract with TfL
3.4 Operating principles	Moved to Section 2
4.3.6 Auditing	Audit ratios amended and include both driver and vehicle records
Section 2	Renumbered to Section 3
Section 3	Renumbered to Section 4
Section 4	Renumbered to Section 5
Section 5	Renumbered to Section 6
Annex 2	Included FORS Senior Auditor competencies
Annex 3	Annex 3 Person specification – Auditor merged into Annex 2 Declaration of Auditor competence to remove repetition of competencies
Annex 4	Renumbered to Annex 3
Annex 5	Renumbered to Annex 4

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1 Introduction

The primary purpose of this document is to describe the processes and requirements that Fleet Operator Recognition Scheme (FORS) Audit Providers must apply and adhere to in order to become a FORS Audit Provider and offer FORS audit services on behalf of FORS. Such Audit Providers must be approved by the FORS Administrator.

A FORS audit is a verification process of fleet activities to ensure conformity to the requirements of the FORS Standard.

FORS certification is conducted by the FORS Administration who make all certification decisions, therefore the role of FORS Audit Providers is to conduct audit services only.

(FORS Audit Providers ARE NOT certification Bodies).

1.1 FORS Administrator

The Fleet Operator Recognition Scheme is administered by Sopra Steria Limited. For all enquiries please contact:

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

FORS
c/o Sopra Steria
Three Cherries Lane
Hemel Hemstead
HP2 7AH

2 Audit Provider operating principles

2.1 Requirements

- a) FORS Audit Providers 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 queries, complaints and appeals
- b) FORS Audit Providers shall demonstrate through a documented policy 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-auditing or auditing a related fleet operation
 - ii. auditing a former or future (within two years) consultancy services
 - iii. intimidation and familiarity
- c) Impartiality issues shall form part of management reviews
- d) FORS Audit Providers shall keep confidential, and have a written policy to cover, all information found during their interaction with an operator (except for the passing of the audit report to the FORS Administrator or from an information request from the Administrator regarding a complaint or appeal)
- e) FORS Audit Providers shall have a written commitment to impartiality available, and manage impartiality and conflict of interest via a written impartiality risk register
- f) FORS Audit Providers which also offer consultancy services within the same organisation shall demonstrate a clear separation of FORS Auditors from consultancy services staff and operate in an impartial manner which removes undue influence on the audit activity
- g) FORS Audit Providers shall not outsource any part of their auditing operation, with the exception of sub-contracted Auditors
- h) FORS Audit Providers shall not market or link their audit operation in any way to an organisation which provides fleet or transport consultancy services
- i) FORS Audit Providers shall ensure that all parties with access to operator information (such as management, the Audit Manager, Auditors, Senior Auditors, administration staff) sign a confidentiality agreement covering the duty to keep all information gained during the audit process is confidential and not to use it for commercial or other gain
- j) FORS Audit Providers shall not hold any information regarding a fleet operator in relation to FORS for longer than 6 years and shall follow the requirements of the UK General Data Protection Regulation (GDPR) (Data Protection Act 2018)
- k) FORS Audit Providers shall have the following 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

3 Application to become a FORS Audit Provider

3.1 FORS Audit Provider approval criteria

Organisations that provide fleet audit services can apply to the FORS Administrator to attain FORS Audit Provider status. Approval is granted following initial and continued assessment of the applicant's audit operation against the approval criteria.

This document includes the approval criteria for assessing the competence, consistent operation, impartiality and quality levels of FORS Audit Providers.

The FORS Administrator shall have absolute discretion to assess against this criteria and its determination shall be final and conclusive.

3.2 Initial approval procedure

The following approval procedure will apply (Figure 1):

- a) Stage 1 - a completed [Expression of Interest](#) (EOI)
- b) Stage 2 - a completed application form (Annex 1) and documentation is to be sent to the FORS Administrator. Applicant financial standing checks undertaken
- c) Stage 3 – agree outline commercial arrangements with FORS Administrator and provide Annex 2 evidence
- d) Stage 4 - the FORS Administrator conducts an assessment of the organisation's competence against the system requirements at Section 4

e) Stage 5 – sign commercial agreement and award FORS Audit Provider status

3.3 Re-approval procedure

On an annual basis, the Audit Provider shall be audited by the FORS Administrator. The audit will include (but not exhaustive):

- a) a desk review of all forms required in the initial approval procedure
- b) an assessment of the back-office operation
- c) an assessment of witnessed audits to ensure that - 100% of contracted Auditors meet the required standard
- d) records of required KPIs and metrics sent to the FORS Administrator
- e) a review of any complaints made against the FORS Audit Provider

3.4 Change of details

FORS Audit Providers shall inform the FORS Administrator in writing within 10 business days should any of the following change:

- a) name
- b) address
- c) trading status
- d) trading name
- e) legal entity or ownership
- f) any other significant change that may affect the operation of FORS

3.5 Audit Provider application appeal procedure

An organisation applying for FORS Audit Provider status may appeal a decision made in stages 1, 2 or 4 of the initial approval procedure.

In the first instance the appeal should be raised with the FORS Administrator. If not resolved the following action should be taken at the relevant stage:

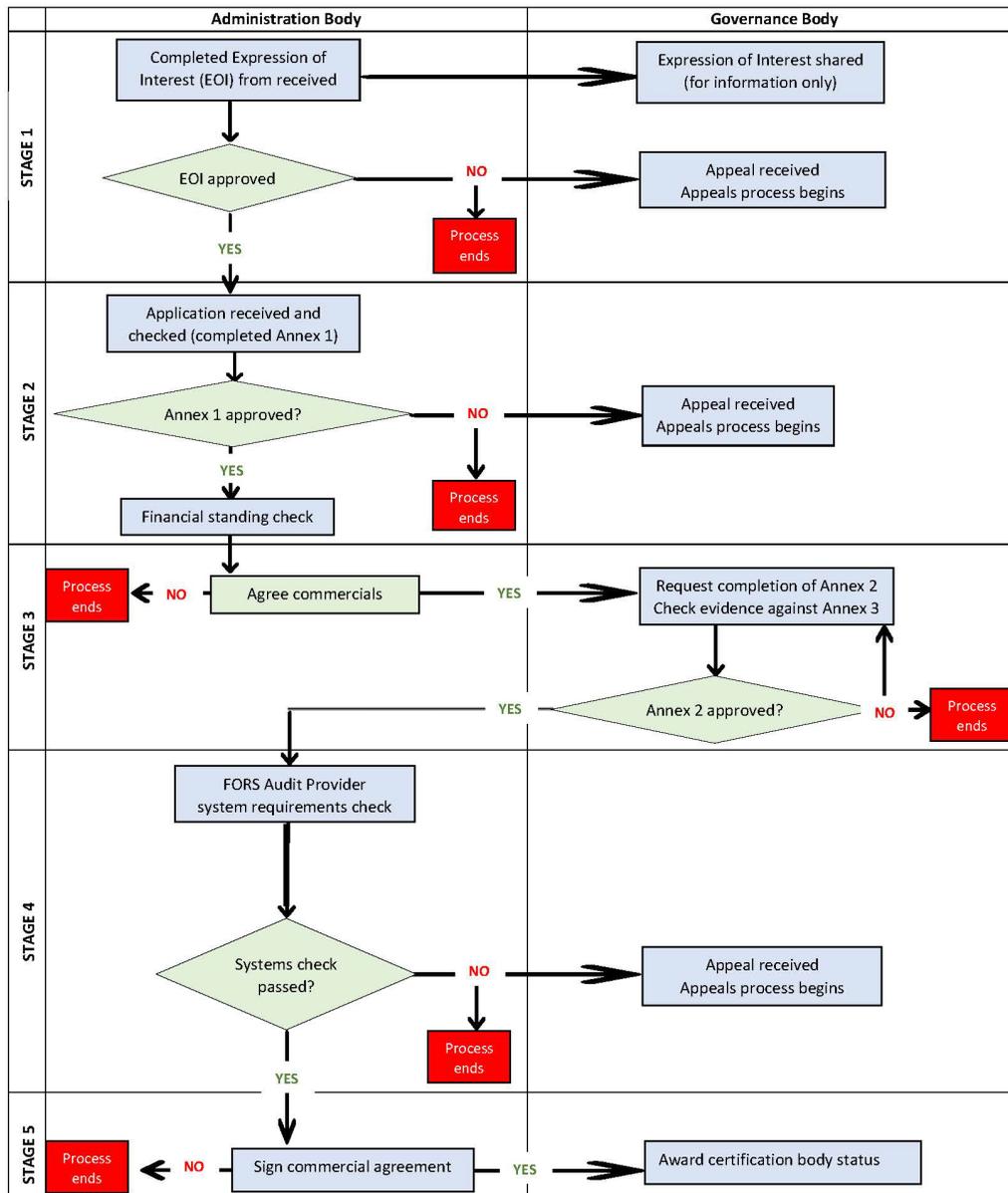
Stage 1 – Expression of Interest (EOI):
Governance body will independently review

and decide based on the criteria and commitments outlined by the applicant in the EOI form.

Stage 2 – FORS Audit Provider application:
Governance body will independently review and decide based on the information provided in the completed Annex 1 forms and supporting documentation.

Stage 4 - Quality Assurance Systems:
Governance body will independently review and decide on the applicant’s adherence to the FORS Audit Provider systems checks and witnessed audits as outlined in this document.

Figure 1 FORS Audit Provider initial approval procedure



4 System requirements for FORS Audit Providers

FORS Audit Providers shall have a quality manual that includes system requirements and provide evidence upon request of its implementation and subsequent reviews.

For the FORS Audit Provider approval application, the documents listed in Annex 1, which are core to the operation of the FORS Audit Provider shall be made available.

The following requirements shall be used in the assessment of FORS Audit Providers by the FORS Administrator.

4.1 General requirements

- a) FORS Audit Providers shall implement and operate to a documented audit management system which demonstrates control of its activities related to FORS
- b) FORS audits shall verify conformity to the requirements of the current [FORS Standard](#)
- c) FORS Audit Providers shall demonstrate evidence of having access to all referenced documents within the FORS Standard and that these have been communicated and understood by Auditors
- d) FORS Audit Providers shall be a legal entity (or part thereof)
- e) FORS Audit Providers shall demonstrate that they have sufficient funds to finance and insure their operation

- f) FORS Audit Providers shall pass all enquiries relating to FORS accreditation to the FORS Administrator
- g) FORS Audit Providers shall not undertake a FORS audit on any organisation that they have provided consultancy services for within the past two years.

4.2 Organisational requirements

4.2.1 Staffing general

- a) FORS Audit Providers shall retain an up-to-date documented organogram indicating structure, duties, responsibilities and authorities of all types of role involved in their auditing activities. The organogram shall include the following named individuals:
 - i. Senior manager - with overall responsibility for the audit operation
 - ii. Audit manager – the single point of contact for all FORS audit matters
 - iii. Senior Auditor(s) – to conduct Senior Auditor responsibilities
 - iv. Auditors
 - v. Audit administrator

FORS Audit Providers shall demonstrate to the FORS Administrator that all areas of responsibility are adequately and impartially covered

- 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 FORS Audit Providers
 - ii. supervision of the implementation of the policies and procedures

- iii. completion of audit report quality assurance process (before submitting to the FORS Administrator)
 - iv. performance of auditors and responsiveness to complaints and audit appeals
 - v. delegation of authority to individuals, as required, to undertake defined activities on its behalf
 - vi. contractual arrangements
 - vii. provision of adequate resources for audit activities
- c) FORS Audit Providers shall have access to (either by direct employment or via contract) sufficient Auditor resources to meet the volume of work
 - d) FORS Audit Providers shall demonstrate the monitoring of Auditor performance and rectify and record inconsistencies that may be found.
 - e) Audit Providers shall ensure that a Senior Auditor conducts a witnessed audit on 100% of Auditors each year, which is recorded on the Witnessed Audit Report (Annex 4)
 - f) FORS Audit Providers shall conduct regular reviews and record the performance of Auditors
 - g) FORS Audit Providers may utilise sub-contracted 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) FORS Audit Providers shall keep

up-to-date personnel records for all staff involved in auditing 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. This information shall be made available to the FORS Administrator on request.

4.2.2 Staff competency

- a) FORS Audit Providers shall use competent staff for all elements of their work relating to FORS
- b) Auditors shall be approved by the FORS Administrator prior to work. Evidence of Auditor competencies listed within Annex 2 shall be submitted to the FORS Administrator for approval with the signed declaration for each individual Auditor. A person specification for Auditors is set out in Annex 3
- c) Auditors shall undertake FORS Auditor training and FORS Auditor refresher training as required.

Additional auditor training may be mandated by the FORS Administrator as a result of Quality Assurance process

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

- d) Only Auditors that meet all of the Senior Auditor competencies shall be appointed as a Senior Auditor. The FORS Administrator shall be informed of any nomination to appoint a Senior Auditor
- e) FORS Audit Providers shall ensure that all Auditors understand the latest rules, responsibilities and required processes of being a FORS Auditor
- f) FORS Audit Providers shall have a written policy and process for allocating, conducting and assessing the practical on-the-job training objectives of FORS

Auditor training course, and formally appointing Auditors

4.2.3 Management

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

4.2.4 KPIs and metrics

- a) FORS Audit Providers shall collate Key Performance Indicator (KPI) and metrics data summarised in Table 1, and included as part of the Monthly Statement submitted to the FORS Administrator:
 - i. FORS Audit Providers may issue explanatory notes with their KPI and metrics data
 - ii. KPIs may be revised by the FORS Administrator at any time
 - iii. No information which infringes the General Data Protection Regulation (GDPR) (Regulation (EU) 2016/679) shall be passed to the FORS Administrator)

Table 1 Key Performance Indicators

KPI	Reporting detail	Minimum acceptable performance
Time taken to deal with complaints	Business days from receipt of written complaint to resolution of complaint	No more than 10 Business days
Time taken from audit request to audit offer	Business days from receipt of audit request to the offer of an audit date	No more than 2 Business days
Audit date offer after audit request	Business days from initial audit request to the offer of an audit date	As per each Audit Provider service contract
Cancelling an audit offer after no response from operator	Business days to retract an audit offer after no response from the operator	No less than 7 Business days but no more than 10 Business days
Submit Bronze audit report to FORS	Business days for FORS being provided with Bronze audit report	No more than 5 Business days
Communicating Silver/Gold audit results to operator	Business days of operator being informed of Silver/Gold audit outcome	No more than 15 Business days
Silver/Gold audit compliance screening	Business days of Silver/Gold submission being screened for regulatory compliance issues and FORS related complaints	No more than 5 Business days
Monthly Audit Provider statement	A calendar monthly statement providing an audit report summary shall be prepared and submitted to FORS	No later than the 5 th day of the following calendar month
Information requests from FORS	Business days of providing responses to any reasonable request for information from FORS	Within 1 Business day
Audit quality assurance checks	Percentage quality assurance pass rate for all audit reviews over a rolling ninety (90) day period	95% pass rate
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 FORS Audit Provider	
Number of testimonials	Number of written testimonials made regarding the FORS Audit Provider	

4.3 Operational requirements

4.3.1 General

- a) FORS Audit Providers shall only assess fleet operators against the requirements of the FORS Standard and fleet operators shall conform to the requirements of the FORS Standard for audit purposes. It is not the responsibility of the FORS Audit Provider to assist a fleet operator in any way
- b) FORS Audit Providers shall base audit recommendations upon objective evidence of conformity to the FORS Standard and no other factor (see section 3.4 on conflict of interest)

4.3.2 Complaints

- a) FORS Audit Providers shall address complaints and audit appeals in accordance with the procedure at Annex 5. All complaints and appeals shall be made available upon request from the FORS Administrator
- b) FORS Audit Providers shall provide complainants with the 'Complaints and appeals escalation process'

4.3.3 Information for operators

- a) FORS Audit Providers shall make available free of charge any documentation produced as part of the audit process as requested by the audited FORS operator
- b) FORS operators request a FORS audit via FORS Online. This information is passed to the relevant FORS Audit Provider to inform them of the audit application. Any further required information shall be requested directly between the Audit Provider and the FORS operator

4.3.4 FORS Logo

- a) FORS Audit Providers shall use the FORS Audit Provider logo as indicated in Figure 3 on all FORS related documentation and websites as per the FORS brand guidelines
- b) The FORS Administrator retains control and has rights to issue, suspend or revoke the use of the FORS logo. Any misuse or misrepresentation will be investigated and appropriate action taken
- c) FORS Audit Providers shall report to the FORS Administrator any use of the FORS logo (by operators or otherwise) which is in contravention of its use as defined in the FORS Rules and Procedures

Figure 3 FORS Audit Provider logo



4.3.5 Audit planning

Auditor Providers shall ensure that pre-audit checks are completed and that FORS mandatory training has been completed.

4.3.6 Auditing

- a) Auditors shall review a random sample of the auditee driver and vehicle records for conformity at all audits. This is dependent on the number of vehicles and drivers in the fleet operation:
 - ◆ 1 to 3 - 100% records will be checked
 - ◆ 4 to 55 – at least 3 records will be checked
 - ◆ 16-20 - at least 4 records will be checked
 - ◆ 25+ - at least 5 records will be checked
- b) The audit report form¹ shall be completed as per the Audit Provider guidance document

- c) Audit Providers shall ensure that Auditors complete 100% of the audit report form

4.3.7 Post-audit processes

- a) A Senior Auditor shall independently review the contents of all completed audit reports prior to forwarding to the FORS Administrator. Reports that are found to be substandard are to be returned to the auditor for review and amendment where necessary
- b) All audit reports shall be completed and emailed to the FORS Administrator in electronic format within 5 business days of the date of the audit
- c) Under no circumstances are FORS Audit Providers to inform the operator of the audit result

¹ An electronic version of the audit report will be made available by the FORS Administrator to FORS Audit Providers on request. Note: FORS Audit Providers or employed Auditors are not permitted under any circumstances to modify the FORS Audit Report

4.3.8 Re-approval Bronze audits

- a) FORS Bronze accredited operators need to undergo a re-approval audit every year
- b) FORS Silver and Gold operators need only undergo the re-approval Bronze audit every two years as long as they remain active. Note that Silver and Gold submissions required for FORS Silver and Gold accredited operators is on an annual basis
- c) Re-approval Bronze, Silver and Gold audits shall be undertaken at least 45 calendar days but no more than 75 calendar days before the accreditation expiry date
- d) Audits shall use the most recent audit report form

4.3.9 Follow-up audits

- a) As part of the FORS audit report form an action plan shall be issued to operators that have not met all of the requirements of the FORS audit
- b) Follow-up audits may not necessarily require a site visit when certain action point completion can be evidenced via a desk-based follow-up audit

4.3.10 Record keeping

- a) As a minimum the following records shall be retained:
 - i. KPIs and metrics
 - ii. Auditor performance
 - iii. Auditor Quality Assurance and actions taken
 - iv. Conflict of interest register
 - v. Audits completed by type, delivery type, date of audit, auditor, result etc
 - vi. Complaints and appeals register

- b) FORS Audit Providers shall retain records for a period of 6 years

4.3.11 Termination, Suspensions and change of details

- a) FORS Audit Providers are not permitted to terminate or suspend a fleet operator from FORS or alter accreditation, change the scope of accreditation or alter any administrative information under any circumstances

4.3.12 Complaints and appeals

- a) FORS Audit Providers shall utilise the complaints procedure as detailed in Annex 5 via normal communication methods or where specifically requested by any third party
- b) Complaints to a FORS Audit Provider regarding the FORS Administrator shall be passed to the Administrator within one business day
- c) FORS Audit Providers shall not make any financial charge in relation to the complaints and appeals process
- d) Records of the complaint or appeal and its subsequent findings shall be made available for review by the FORS Administrator

5 Disputes

5.1 Complaints and appeals process

The complaints and audit appeals procedure set out in Annex 5 can be invoked by a FORS Audit Provider wishing to make a complaint against the FORS Administrator or wishing to appeal against a decision made by the FORS Administrator.

In this case, at step 5 of the complaints and audit appeals procedure the FORS Administrator or FORS Governance body will formally respond within five business days of receipt of the request to refer the matter to senior management.

If no amicable solution can be found via normal communication methods the complaint may be escalated to the GSAG.

5.2 Discontinuation of approval to undertake FORS audits

5.2.1 Voluntary

FORS Audit Providers may leave the scheme at any time. The FORS Administrator shall be notified of this in writing at least 3 months prior to the voluntary cancellation of approval.

5.2.2 Involuntary

The FORS Administrator in consultation with GSAG may, in certain circumstances withdraw a FORS Audit Provider's approval to carry out audits. In such cases the following procedures will be undertaken in the following order:

a) The FORS Administrator will clearly identify in writing to the FORS Audit Provider the reasons for concern

- b) requirement for the FORS Audit Provider to undertake and prove corrective action
- c) suspension of the FORS Audit Provider
- d) involuntary discontinuation of the FORS Audit Provider 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, such as failing to maintain the integrity of the service
- iii. a failure to meet the quality or performance standard expected
- iv. a change in legal structure or ownership that might introduce a conflict of interest not capable of being satisfactorily managed
- v. any case of gross misconduct being proven against the FORS Audit Provider or failing to follow the correct audit procedures
- vi. being inactive for a period of 12 months
- vii. becoming financially insolvent or entering into administration

5.2.3 Corrective action

Corrective action may be considered as actions which are undertaken to correct any breakdown in the auditing operation of a FORS Audit Provider.

FORS Audit Providers are under a duty to undertake corrective actions and to prove positive results to the FORS Administrator. A failure to undertake positive corrective action within 20 business days (or any longer agreed timescale) will result in suspension.

5.2.4 Suspension

Action arising from failure to undertake the required corrective action will result in the FORS Audit Provider being suspended from offering FORS audits until corrective action has been implemented and evidenced.

A failure to implement and evidence corrective action to the standard expected by the FORS Administrator during the suspension period within 20 business days of notification (or any longer agreed timescale) will result in involuntary discontinuation of Audit Provider status.

5.2.5 Involuntary discontinuation

FORS Audit Providers which fail to undertake corrective action during suspension will have their approval to offer FORS audits withdrawn, upon which the FORS Audit Provider must cease all activity relating to FORS auditing, including existing clients.

Operators who have submitted an active request for audit will be informed by the FORS Administrator of the requirement for reallocation of audit and be supplied an alternative FORS Audit Provider.

6 Terms and references

Term	Definition
Accreditation	FORS operators having met the FORS Bronze, Silver or Gold requirements
Accreditation certificate	A document detailing the accreditation level attained (Bronze, Silver or Gold) and the validity dates of accreditation
Accredited operator	Any organisation operating a fleet of vehicles including vans, HGV, coaches and powered two wheelers that holds FORS accreditation
Action plan	An executive summary of the Audit Action points and findings
Action points	A record of an incidence of non-conformity to the FORS Standard. This can be a major action point or a minor action point
Audit	A verification process of fleet activities to ensure conformity to the requirements of the FORS Standard
Auditor	An individual employed by an Audit Provider's approved to conduct Audits
Audit declaration	A statement signed by the Responsible Person employed by a FORS Operator declaring that any evidence provided at Audit is a true reflection of the organisation's fleet activities
Audit Provider	An organisation approved by the FORS Concessionaire to conduct Audits
Audit report	Written document outlining the audit result and action plan if applicable
Compliance	Refers to regulatory compliance and not used in the context of FORS accreditation (for conformity to the FORS Standard see Quality Assurance)
Follow-up Audit	An Audit that only focuses on the major action points raised in a failed initial or re-approval audit. A follow-up Audit must be passed within 30 calendar days of initial notification of failure
FORS	The acronym for the Fleet Operator Recognition Scheme
FORS Administrator	Sopra Steria Limited – the organisation appointed by TfL under Concession to operate FORS administration
FORS Operator	A fleet operator that is either registered or accredited to the

	FORS Standard
FORS Standard	The document published by the FORS Governance Body detailing the requirements that organisations must meet to gain and maintain FORS accreditation
GSAG	Governance and Standards Advisory Group – A voluntary group of operators, specifiers and stakeholders that provide advice and guidance on the development of FORS
Initial Audit	The first Audit at each level of Bronze, Silver or Gold. An Initial Audit is also conducted when accreditation has lapsed, reinstatement after downgrading to Dormant or after 16 major action points at the previous Audit
Major action point	A record of incidence of non-conformity to the FORS Standard which results in a failed audit. These must be corrected within 30 days of initial notification
Minor action point	A record of incidence of non-conformity to the FORS requirements. These must be corrected within 90 days of initial notification
Re-approval audit	A periodic audit of a FORS operator
Senior Auditor	A FORS Auditor holding Quality Assurance responsibility for FORS Audits, reviewing of appeals, and undertaking enhanced audits
Witnessed audit	An Audit that is witnessed for quality assurance purposes by a Senior Auditor

Annex 1 Application for FORS Audit Provider status

The purpose of this application form is to allow fleet audit organisations to apply to the FORS Administrator to attain FORS Audit Provider status. The signing of this document binds the applicant to the processes defined in this document, *Requirements for FORS Audit Providers*. Your completed application should be forwarded to the FORS Administrator listed in section 1.1, and shall be accompanied by all elements in outlined in section 4.

Supporting information shall be attached where necessary.

Organisation name	
Address	
Contact name	
Telephone number	
Email address	
What is the core business of your organisation?	
Does your organisation offer consultancy services?	
Approximately how many audit days per year are you able to commit to as a FORS Audit Provider	
When will your organisation be available for the FORS Administrator systems checks	
Have you implemented all of the system requirements listed in the FORS Requirements for FORS Audit Providers?	
Does your organisation agree to all terms and conditions outlined within the FORS Requirements for Audit Providers document and all documents cited within it?	
Signature of Company Director	
Name	
Date	

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

Document to be submitted	Your reference
Auditor monitoring report	
Application form - Annex 1	
Complaints policy	
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	

Annex 2 Declaration of Auditor competence

Each Auditor is required to receive FORS Administrator approval prior to starting work as an Auditor for the approved Audit Provider. Completed declarations of competency (as below) shall be forwarded to the FORS Administrator for review and approval for each Auditor.

A2.1 Declaration

Organisation name	
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 (Audit Provider representative signature)	
Applicant representative name	
Date	

Evidence of these competence requirements shall be retained by the FORS Audit Provider and may be reviewed by the FORS Administrator at any time.

A2.2 Auditor competence requirements

Auditor name	
Requirement	Evidence
Qualifications / Education/ Training:	
◆ Hold an industry recognised Transport Manager Certificate of Professional Competence qualification for a minimum period of two years	<input type="checkbox"/>
◆ Complete an industry recognised Transport Manager Certificate of Professional Competence qualification refresher training within the past five years	<input type="checkbox"/>
◆ Hold an approved FORS Auditor qualification	<input type="checkbox"/>
◆ Complete recognised FORS Auditor annual refresher training	<input type="checkbox"/>
◆ Undertake FORS Auditor annual refresher training if no audit has been completed within the previous six months – or as directed by the FORS Administrator	<input type="checkbox"/>
◆ Qualify as a FORS Practitioner within one year of commencing FORS auditing	<input type="checkbox"/>
◆ Hold an industry recognised qualification in quality systems management and/or auditing (desirable)	<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"/>
◆ 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 statutory document 1	<input type="checkbox"/>
◆ Maintain 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"/>
◆ Understanding of what represents industry best practice	<input type="checkbox"/>
Skills:	
◆ 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 provide direction and guidance to operators	<input type="checkbox"/>
◆ Ability to maintain client confidentiality	<input type="checkbox"/>
◆ Maintain Auditor competency by completing at least one audit in any six month period <ul style="list-style-type: none"> • a period exceeding six months shall require Auditor refresher training and days four and five of the original training to be conducted • a period exceeding 12 months without completing an audit will require the full five days FORS Auditor training to be conducted 	<input type="checkbox"/>
Experience – sector specific:	
◆ Practical experience of working in a transport environment for a minimum period of two years	<input type="checkbox"/>
◆ Experience of auditing road transport operations	<input type="checkbox"/>
Experience – general:	
◆ 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"/>

A2.3 Senior Auditor competence requirements

Requirement	Evidence
On appointment a Senior Auditor shall have:	
◆ Been employed consecutively as a FORS Auditor during the past 12 months	<input type="checkbox"/>
◆ Conducted a minimum of 10 FORS audits during this period	<input type="checkbox"/>
◆ Produced 4 consecutive audit reports that have been quality assured as 100% accurate	<input type="checkbox"/>
◆ The ability to conduct both structural and technical quality assurance reviews on FORS Audits	<input type="checkbox"/>

A2.3 Audit system competency checklist

◆ How many qualified Auditors are permanent employees?	
◆ How many qualified Auditors are sub-contracted?	
◆ 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 auditing requirements following an audit	
◆ Is there evidence of ongoing Auditor training, audit the Auditor or refresher training in place?	
FORS Auditor comments	

Annex 3 Witnessed audit form

A3.1 Basic details

Auditor's name	
Date of witnessed audit	
Date of previous witnessed audit	
FORS Audit Provider	
Audited fleet operator	
Senior Auditor name	

A3.2 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 requirements?	
Does the Auditor show in-depth industry knowledge?	
Does the Auditor have the knowledge to answer questions clearly and concisely?	
Is there any evidence of a conflict of interest presented during the audit?	
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 name	
Senior Auditor signature	
Date	

Post audit

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

Auditor notes/overview (post audit)

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

Annex 4 Complaints and appeals escalation process

Introduction

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

The complaints process is also outlined in the FORS Quality Assurance Guidance.

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 FORS Administrator or your FORS Audit Provider using the words 'Official FORS complaint' in the letter or email title 2. The FORS Administrator or the Audit Provider will send an acknowledgement of receipt and a copy of this process document which shall be followed to investigate the complaint 3. Within five business days of receipt of the complaint the FORS Administrator or FORS Audit Provider will formally respond offering a resolution 	<ol style="list-style-type: none"> 1. You must write to the FORS Administrator or FORS Audit Provider using the words 'Official FORS complaint' in the letter or email title 2. The FORS Administrator or Audit Provider will send you an acknowledgement and a copy of this process document which shall be followed to investigate your audit appeal 3. Within 10 business days of receipt of the complaint the FORS Administrator or FORS Audit Provider 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 management of respective parties 5. Within five business days of receipt of the request to refer the matter to senior management the FORS Administrator or FORS Audit Provider 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 Governance body 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 business days the GSAG panel will reach a majority decision and the governance body 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

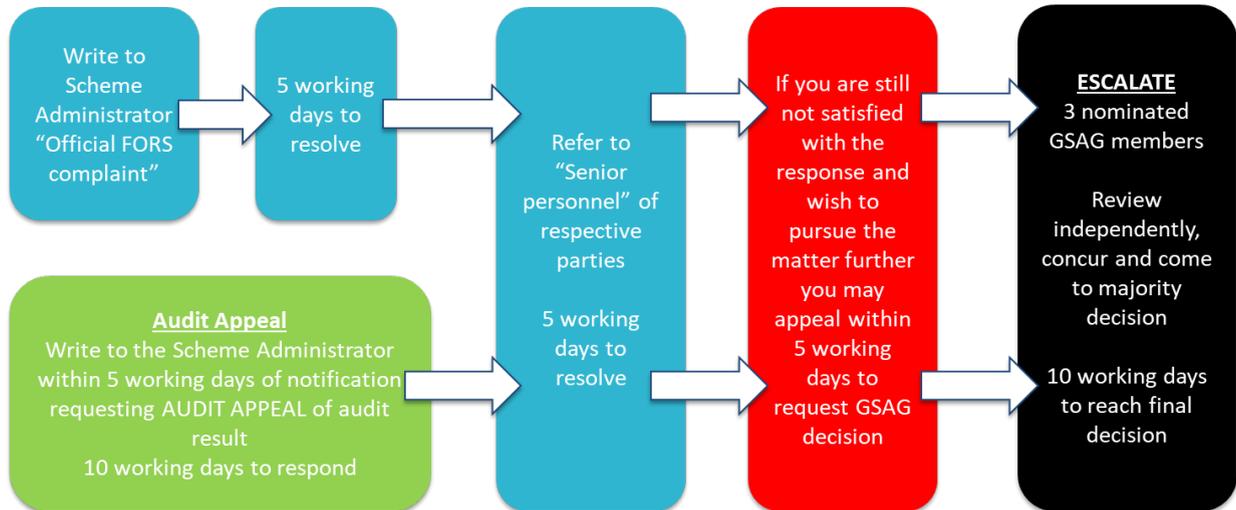


Figure A: FORS Complaints and audit appeals escalation process

