Annex 6 Audit checklists

A1   Bronze checklist

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

[2] These may be the same person

Code	Requirement	Audit notes	Outcome
M5	**Communication** Fleet operators shall demonstrate that company policies and procedures are communicated to all staff.		
M6	**Review** Fleet operators shall have their policies and procedures for the transport operation reviewed by senior management at least every 12 months. This shall include the FORS standard requirements.		
M7	**Change** Fleet operators shall demonstrate that senior management reviews result in positive changes to the business and such changes themselves are reviewed.		
M8	**Complaints** Fleet operators shall have a fully functioning complaints system which feeds into decision making and shall ensure that any legal and non-legal action against the company is reviewed and reacted to in order to prevent recurrence.		

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

Code	Requirement	Audit notes	Outcome
V4	**Insurance** Fleet operators shall hold a minimum of third party insurance or self-insurance for the whole fleet. Requirements for other forms of insurance including employers' liability, public liability and goods in transit insurance and any other relevant insurance specific to the actual operation shall be held where applicable.		
V5	**Vehicle Excise Duty** Fleet operators shall ensure that the appropriate Vehicle Excise Duty (VED) is paid for all applicable vehicles.		
V6	**Safe loading** Fleet operators shall ensure that vehicles are safely loaded and that appropriate load restraints are used.		
V7	**Vulnerable road user safety** Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight are fitted with safety equipment to help protect vulnerable road users.		

Code	Requirement	Audit notes	Outcome
V8	**Working at height and the prevention of falls from vehicles** Fleet operators shall risk-assess the potential for persons to fall off vehicles and for unauthorised access to vehicles and where appropriate take mitigating action.		
V9	**Vehicle manoeuvring** Fleet operators shall risk-assess, mitigate, and control where appropriate risks from vehicle manoeuvring including driving forward, reversing, towing, uncoupling, and parking.		
D1	**Licensing and qualifications** Fleet operators shall ensure that the licences and qualifications of all drivers (including agency drivers) are checked by a competent person prior to driving, and then at least every six months.		
D2	**Driving standards** Fleet operators shall require that anyone driving on business shall drive within the Highway Code and company policy at all times and pay particular regard to vulnerable road users.		
D3	**Staff training** Fleet operators shall ensure that drivers and line managers undergo approved progressive training and continued professional development with particular attention to the safety of vulnerable road users.		

Code	Requirement	Audit notes	Outcome
D4	**In-vehicle technology** Fleet operators shall not cause or permit a driver to use a mobile phone or other distractive in-vehicle technology while driving.		
D5	**Health and safety** Fleet operators shall ensure that road driving risks and workplace transport safety are controlled via a working health and safety policy and that vehicle-specific driver health and safety advice is given to drivers.		
D6	**Driver fitness and health** Fleet operators shall ensure that driver fitness and health is managed.		
D7	**Drivers' hours and working time** Fleet operators shall have policies and procedures to manage both drivers' hours and total working time for all (where applicable).		
D8	**Monitoring driving** Fleet operators shall record and monitor all driving infractions, and take remedial action to minimise future recurrences.		

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

A2 Silver checklist

Code	Requirement	Audit notes	Outcome
S1	**Maintain FORS bronze** Fleet operators shall maintain their FORS bronze accreditation.		
S2	**Driver licensing** Fleet operators shall ensure that a verification system is in place to provide confidence that all drivers hold a valid licence for the category of vehicle they are tasked to drive.		
S3	**Vehicle warning equipment** Fleet operators shall ensure that all vehicles over 3.5 tonnes gross vehicle weight are equipped with audible means to warn other road users of a vehicle's left manoeuvre.		
S4	**Blind-spot minimisation** Fleet operators shall ensure all vehicles over 3.5 tonnes gross vehicle weight have front, side and rear blind-spots completely eliminated or minimised as far as is practical and possible through a combination of fully operational direct and indirect vision aids and driver audible alerts.		

Code	Requirement	Audit notes	Outcome
S5	**Driver training** Fleet operators shall ensure that all drivers (including those exempt or not in scope of Driver Certificate of Professional Competence) undergo approved progressive training specifically covering the safety of vulnerable road users.		
S6	**Transport related fines and charges** Fleet operators shall have policy in place to investigate and analyse all transport related fines and charges and implement intervention(s) to reduce the amount received.		
S7	**Performance measurement** Fleet operators shall baseline data and initiate active monitoring of the following performance indicators: ♦ Total fuel usage and by distances travelled ♦ Transport related CO_2 output and by distance travelled ♦ Total incident and collision data and costs involving personal injury, vehicle or property damage ♦ Total transport related fines and charges		

A3 Gold checklist

Code	Requirement	Audit notes	Outcome
G1	**Maintain FORS silver** Fleet operators shall maintain both their FORS bronze and silver accrediation.		
G2	**Promoting FORS standards** Fleet operators shall provide evidence of actively promoting the FORS standards to their supply chain.		
G3	**Published case study** Fleet operators shall produce and publish a case study that describes the progression from FORS registration to the attainment of gold and demonstrates the improvements against all performance indicators.		

Code	Requirement	Audit notes	Outcome
G4	**Performance measurement** Fleet operators shall make meaningful improvements against the FORS silver baseline data in the following performance indicators: ♦ Total fuel usage and by distances travelled ♦ Transport related CO_2 output and by distance travelled ♦ Total incident and collision data and costs involving personal injury, vehicle or property damage ♦ Total transport related fines and charges		
G5	**Staff training** Fleet operators shall ensure that all operational staff within the organisation undergo approved progressive training and continued professional development. This shall be linked with G4 and S5 in order to determine how this training has improved operations for the better and how this training could be improved on / changed in order to achieve the desired outcomes.		
G6	**Fuel and emissions champion** Fleet Operators shall appoint individuals who are responsible for both the economic and environmental sustainability of the business.		