



# Fleet Operator Recognition Scheme requirements



**Version 2.2**

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# I Introduction

The Fleet Operator Recognition Scheme (FORS) is a voluntary scheme for fleet operators. Its purpose is to raise the level of quality within fleet operations, and to demonstrate which operators are achieving the standards. Contained within this document are the requirements for achieving recognition in order to be awarded FORS certification to bronze, silver, and gold levels.

FORS encourages operators to take a closer look at themselves and identify areas of strength to be exploited and areas for improvement to be addressed. A successful bronze assessment provides an operator with reassurance that their operation is being run safely, efficiently and in an environmentally sound manner. The FORS logo allows potential customers to readily distinguish FORS operators from other operators. Users of fleet operator services may ask that their suppliers are FORS recognised.

## 1.1 Scheme administrator

[www.fors-online.org.uk](http://www.fors-online.org.uk)

Email [fors@tfl.gov.uk](mailto:fors@tfl.gov.uk)

FORS Administrator  
Transport for London  
197 Blackfriars Road  
Southwark  
London  
SE1 8NJ

## 2 Guidance for fleet operators

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

FORS is a method of recognising those fleet operations which comply with the requirements of the FORS standard (please see section 3 onwards). The FORS standard is based upon legal compliance, safety, efficiency and environmental protection. Fleet operators' operations are assessed against the requirements of the FORS standard by an approved FORS certification body; a list of such organisations is available on the scheme administrator website ([www.fors-online.org.uk](http://www.fors-online.org.uk)).

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

### 2.1 Eligibility and scope

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

- ◆ Buses
- ◆ Cars
- ◆ Coaches
- ◆ Lorries
- ◆ Motorcycles and scooters
- ◆ Vans

FORS certification applies to the management system of operations from an individual location in relation to the vehicles controlled by that operation; where more than one location applies within an organisation there is a need for audits of each (to ensure

that they all adhere to either their group or individual management system). These can be undertaken separately or at the same time.

It is not necessary to cover all vehicle types operated from any given location; certification may only apply to certain classes of vehicle.

References are made within support and guidance sections of the document to English law. These should be replaced by the appropriate law in other jurisdictions.

### 2.2 Overview of attaining certification

The following steps indicate the basic overview of the processes a fleet operator must follow to obtain certification:

- a) Ensure that your organisation complies with the eligibility criteria set out in section 2.1
- b) Access all relevant cited documents within the FORS standards (section 3)
- c) It is recommended that organisations self-assess prior to any official audit using the forms provided in this document
- d) Obtain an audit quotation from a certification body which will involve completing an application form and sending through requested paperwork. Fleet operators are at liberty to enter into an agreement with any approved certification body. Their quotation shall include any grants available via the scheme administrator
- e) Submit to an initial audit which covers all relevant parts of the FORS standard at your operational sites. On the day of any audit the persons within your organisation responsible for fleet operations should be available, as



should all relevant paperwork cited within the FORS standard. At the end of the audit an audit report will be made available for discussion

- f) Resolve any action points found during the audit. The certification body shall inform you of the timeframe for resolution
- g) Receive your certification and start using your FORS benefits. The scheme administrator shall automatically send the FORS benefits package once confirmed as FORS certified
- h) Renew your certification after a set period via re-approval

### 2.2.1 Retaining FORS certification

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

FORS silver operators need only undergo the re-certification audit every two years, and FORS gold operators every three years. Note that the data report required of FORS silver and gold members is to be reviewed on an annual basis.

### 2.2.2 Levels of FORS certification

There are three levels of FORS certification:

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

Steps to obtaining these levels are contained in section 2.3.4

## 2.3 Assessment procedures

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

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

### 2.3.1 Initial audit

#### 2.3.1.1 Eligibility

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

- a) have not previously held FORS certification or
- b) whose FORS certification has lapsed or been removed or
- c) are transferring from the old FORS standard to the new FORS standard<sup>1</sup>

#### 2.3.1.2 Application

Operators should identify a certification body via the scheme administrator's website and submit an application for certification. Operators may choose to use the services of a consultant to ensure systems are in place prior to making an application and during the certification process. Please note that the certification body cannot offer consultancy services to operators in relation to elements of their management system related to FORS as this would cause a conflict of interest.

<sup>1</sup> Note that the certification of organisations certified under previous versions of FORS remains until such time that such certification naturally expires (usually 3 years from the date of certification). The scheme administrator's website ([www.fors-online.org.uk](http://www.fors-online.org.uk)) contains the latest version.

### 2.3.1.3 Application process

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

### 2.3.1.4 Auditors

The certification body will assign an audit team comprised of individuals that know your business type.

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

### 2.3.1.5 Audit

The certification body will send auditor(s) to your operating centre at a mutually agreed time and date and undertake the audit using the parts of the FORS standard applicable to the types of vehicles you operate. This will include:

- a) an opening meeting with you
- b) an audit of any management system documentation relevant to your FORS standard compliant operating system (usually in your offices)
- c) an audit to confirm that your working practices comply with what is written in your management system documentation
- d) the auditor(s) writing an audit report at your premises and delivering a copy (which may be electronic) to you at a closing meeting with their recommendation for certification. At the meeting they will discuss with you any action points that have been found but will not be in a position to consult with you on the best course of action to correct them (as later auditing of corrections would not be impartial)

### 2.3.1.6 Certification decision

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

- a) certify the fleet operator as a FORS compliant operator
- b) request the fleet operator develops an action plan to undertake a correction of any action points agreeing target dates for completion which will be verified via a follow up audit or
- c) not certify the operator as a FORS compliant operator, giving reasons for such a decision

### 2.3.1.7 Certification

Following certification you will receive from the scheme administrator a certificate which will include the FORS logo; applicable scope of operation (location and vehicle types), and; the certification body's logos. Please see the FORS website for further FORS membership benefits.

## 2.3.2 Re-approval audits

Re-approval audits shall be undertaken within 15 working days (either side) of the expiry of the present certificate in order for certification to continue. Your current certification body will send you a reminder which will include a form for you to update your latest operational information. The content of the audit will be (in the following priority order):

- a) any relevant changes to the FORS standard since the last audit
- b) any significant changes in your operation since the last audit
- c) any areas cited as a specific issue at the previous audit, then

- d) any remaining content up to 50% of the FORS standard, to be selected by the auditor. This may relate to any complaints made to the certification body or scheme administrator against your certified operation

Following this the processes from section 2.3.1.4 onwards shall apply. A failure to provide satisfactory evidence of action points resolution (i.e. resolving any issues found in the audit) shall result in the removal of the certification by the scheme administrator (see section 2.8).

### 2.3.3 Follow up audit for action point correction

If the scheme administrator has determined that you need to undertake a correction of action points your certification body will contact you for a follow up audit which shall only check against those action points. Your certification body may or may not need to

visit your premises for this audit and under your contract with them may require payment for such services. Following this follow up audit the process in section 2.3.1.6 shall apply.

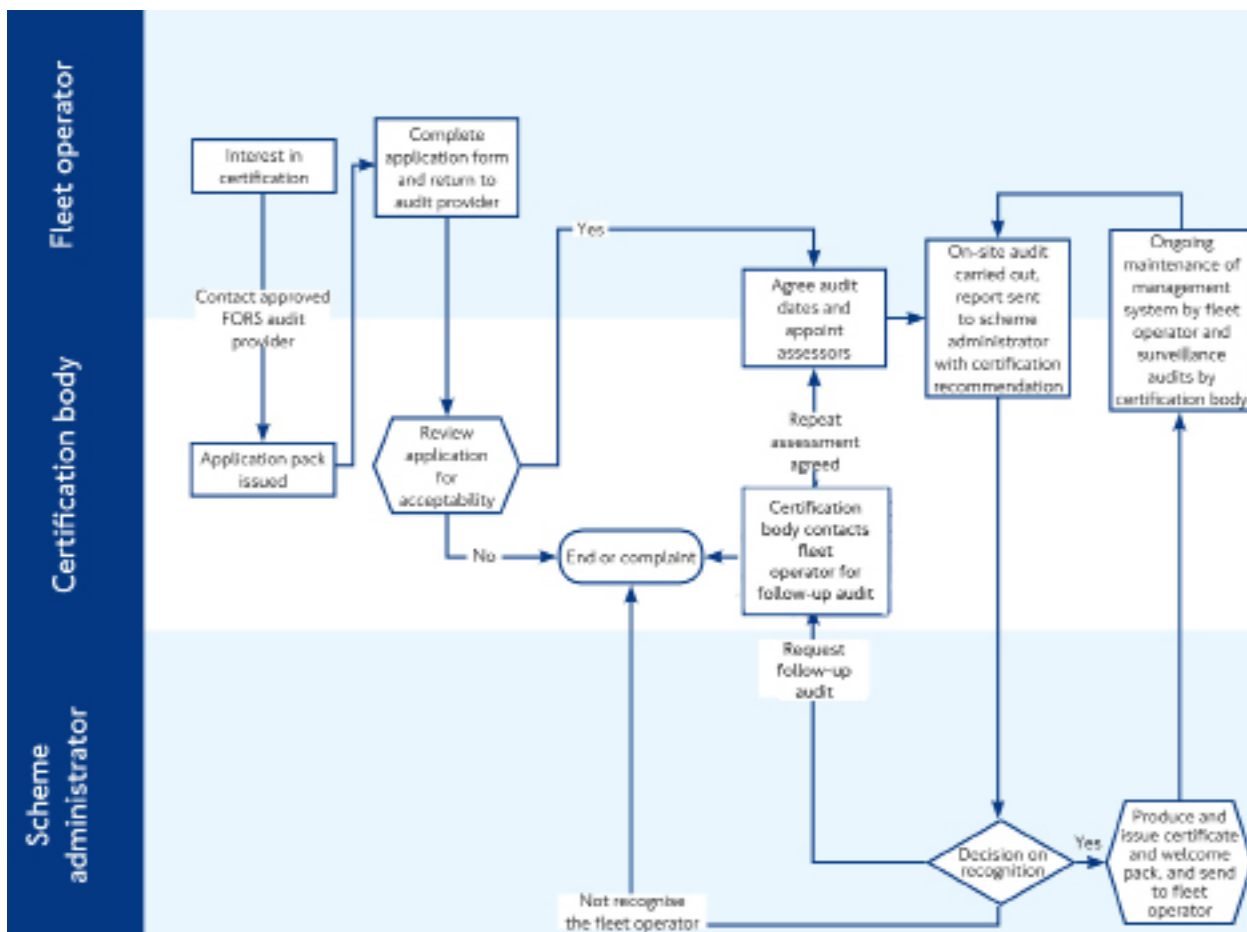
### 2.3.4 Additional steps for silver and gold level fleet operators

Bronze level certified fleet operators may apply to their certification body for silver level certification, and silver level certified fleet operators for gold level certification. Progression to silver and gold levels is not mandatory but is recommended. The additional requirements to allow progression to silver and gold may be found in section 8.

## 2.4 Certification process overview

The flowchart in figure 1 details the process and actions of each party in the certification process.

Figure 1 Certification process overview



## 2.5 Changing your details

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

- a) company name
- b) scope or scale of operation
- c) address (including address of other depots under the scope of certification)
- d) company registration number
- e) directors
- f) ownership

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

The certification body will send to you a copy of your details to enable you to highlight any changes. On receipt of this, the certification body must assess the changes and undertake the appropriate audit activity as determined in section 2.5.1, and may also pass relevant information to the scheme administrator.

### 2.5.1 Consequences of change of details

The consequences detailed in Table 1 will occur upon the listed change of details:

**Table 1: Change of details consequences**

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

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

## 2.6 Use of the FORS logo

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

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

### 2.6.1 Misuse or misrepresentation of the FORS logo

Any misuse or misrepresentation of the FORS logo may be reported by any party to the scheme administrator, who will investigate such claims and take appropriate action which may include a request to remedy the misuse or misrepresentation within a defined timescale and potentially the removal of FORS certification (section 2.8).

## 2.7 Sharing of information

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

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

- a) audit reports
- b) complaints
- c) your operator details and scope of certification
- d) anonymised Key Performance Indicators (KPIs)
- e) any discovered misuse or misrepresentation of the FORS logo

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

- a) company name
- b) operating location(s)
- c) scope of FORS certification (i.e. the type of vehicles)
- d) ending of FORS certification

## 2.8 Removal of FORS certification

The scheme administrator has the option of removing your FORS certification following any breach of protocol cited within this document. This will require that:

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

## 2.9 Complaints

Should you consider that you have not been treated fairly either by the scheme administrator or your certification body and cannot amicably resolve the issue you may complain using the complaints and appeals processes. In the first instance you must write to the certification body or scheme administrator using the words "Official FORS complaint" in the letter title. They will send to you an acknowledgement and a copy of the complaints and appeals process

which shall be followed to investigate your complaint.

## 2.10 Additional general information

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

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

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

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

## 3 FORS standard

The FORS standard defines basic requirements for vehicle operations to follow.

### 3.1 Understanding the FORS standard

There are four key areas to this standard:

- ◆ Management
- ◆ Vehicles
- ◆ Drivers
- ◆ Operations

Within each section below there are several pieces of information:

- ◆ **Requirement** – this is the exact requirement to be adhered to
- ◆ **Purpose** – reveals the purpose of the requirement
- ◆ **Demonstration** – indicates how the requirement should be met and demonstrated as such to the auditor, whilst not mandatory, if this is not followed an equally or more robust method of meeting the requirement may be used if agreed with the auditor
- ◆ **Support and guidance** – provides guidance for operators

Requirements are primarily based around:

- ◆ Legal compliance
- ◆ Safety
- ◆ Efficiency
- ◆ Environmental protection

### 3.2 How to use this document

This document contains both the FORS standard mandatory elements (sections 4 to 7) and an audit record checklist. It can be used by organisations to self-assess their own operations and shall be used by approved

FORS certification bodies during their audit activities.

Certain language is used within this document with the following meanings (a full glossary of terms can be found in Annex 1):

- ◆ **Fleet operator** – any organisation or part thereof which operates vehicles
- ◆ **Shall** – to indicate something which is mandatory
- ◆ **Should** – to indicate something which is recommended
- ◆ **May** – to indicate permission or an option

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

- ◆ **Considered** – senior management should consider each requirement carefully in the context of their own business and ensure that sufficient human and material resources are available
- ◆ **Written** – requirements often involve some form of written documentation, and these may already exist and be acceptable to meet the requirements
- ◆ **Communicated** – company operations relating to these requirements should be communicated to the relevant parties within the business
- ◆ **Implemented** – requirements need to be in general use within the business
- ◆ **Reviewed** – requirements should be regularly reviewed and action taken where necessary

#### 3.2.1 General notes

All external/agency drivers and equipment under the control of the FORS operator are subject to the same requirements of the FORS standard as employee drivers and equipment for the duration of that control.

This specifically includes sub-contracted and agency drivers and leased and hired vehicles, and any person who drives on company business irrespective of vehicle ownership. Within this document the term 'driver' means all persons driving motor vehicles.

Many requirements call for reviews and these should be undertaken at least every 12 months and more frequently if material changes occur with regards to working arrangements, employees, or equipment.

Useful third-party and legal information is signified by bullet respectively.



◆ Third party information



◆ Legal information

Certification bodies can use the document "FORS requirements for certification bodies" to understand more about the application of the Fleet Operator Recognition Scheme.

### 3.2.2 FORS progression

Fleet operators may choose to progress through to silver and then gold level certification from the initial bronze level. To gain silver or gold membership, fleet operators shall provide their certification body with evidence that they meet the specific requirements for the level.

The silver and gold requirements can be found in section 8.



# 4 Management

The following requirements are mandatory.

## M 1 Management manual

### Requirement

Fleet operators shall have a current written management manual which covers all the mandatory requirements of the FORS standard which has been reviewed at least annually by senior members of the organisation.

### Purpose

To ensure that policies and procedures are properly documented in a coherent manner and readily accessible.

### Demonstration

Fleet operators shall have a single document which either contains, or makes reference to, all mandatory requirements of the FORS standard. If applicable, the management manual shall contain details of specific contractual requirements where these are in excess of the requirements set out in the FORS standard. This should include contact details of the contracting organisation, contact name and details, the vehicles and where appropriate drivers employed on these contracts, the requirements to be complied with and a statement of compliance with those requirements.

### Support and guidance

Many firms already hold management manuals under various names which may fulfil this purpose. Useful elements of management system manuals, such as internal compliance and audit forms, may be

obtained from trade representative bodies.



◆ Business Link: Quality Management Standards

## M 2 Responsibilities and authorities

### Requirement

Fleet operators shall have a description of the responsibilities and authorities of, and links between, senior management and daily operations personnel<sup>2</sup>, including the person having continuous and effective responsibility for the transport operations.

### Purpose

To ensure that there are tangible links between senior management and daily operations so that changes to the business and information can be adequately communicated, acted on, and reviewed.

### Demonstration

Fleet operators should have documentary evidence of organisational structure and responsibilities; however this can be described verbally within small businesses where senior management and daily operations personnel roles are well understood by all.

### Support and guidance

Senior management are those with overall strategic control of the operation (which may or may not include daily operations). Daily operations personnel are key persons involved in the daily running of operations including the transport manager and those

<sup>2</sup> These may be the same person.

involved in health and safety, training, and maintenance.



◆ DfT: Practice Direction No 7 - Transport Managers

### M 3 Responsible person

#### Requirement

Fleet operators shall have a formally appointed qualified, trained, and experienced person who runs daily transport operations.

#### Purpose

To ensure that a person with direct competence of transport operations is in daily control of activities.

#### Demonstration

Evidence of formal appointment of the responsible person (evidence of title such as a letter of appointment, naming on an organogram etc) and their daily work. Where relevant this shall include the presentation of operator's qualifications to the auditor covering the scope of operations.

#### Support and guidance

Certain classes of vehicle operation require that a 'transport manager' is the responsible person and holds an appropriate qualification.



- ◆ Business Link: Apply for a goods vehicle operator's licence
- ◆ Business Link: Get started as a bus service operator

### M 4 Regulatory licensing

#### Requirement

Fleet operators shall hold all regulatory licences necessary for their operation (where applicable).

#### Purpose

To ensure that all operators who require a regulatory approval to operate hold the applicable licence/approval.

#### Demonstration

This can be demonstrated by the display of appropriate licence for the type of operations, which the auditor shall use to check items such as the fleet type and size. This shall include any vehicles under the control of the operation centre (such as vehicles hired, leased, or loaned).

Operators shall demonstrate evidence of regular internal reviews of compliance to licence requirements, and that any changes have been notified to the awarding authority.

Note that licensing differences may exist in the different countries of the United Kingdom.

#### Support and guidance



- ◆ Business Link: Apply for a goods vehicle operator's licence
- ◆ Business Link: Get started as a bus service operator
- ◆ VOSA: The Safe Operator's Guide.
- ◆ VOSA: Guide to Maintaining Roadworthiness
- ◆ VOSA: Goods Vehicle Operator Licensing Guide for Operators – GV74
- ◆ Environment Agency: Register or renew as a waste carrier
- ◆ FTA: Yearbook of Road Transport Law
- ◆ RHA: Road Haulage Manual



- ◆ Goods Vehicles (Licensing of Operators) Act 1995
- ◆ Environmental Protection Act 1990

## M 5 Communication

### Requirement

Fleet operators shall demonstrate that company policies are communicated to staff.

### Purpose

To ensure that staff understand the policies of the company so that they can work to them.

### Demonstration

Evidence can include company policies being distributed to staff, staff training of the policies (with lists of attendees), and/or policies being posted in areas where staff can view them. Other documentation such as driver handbooks and contracts of employment can also cover this requirement.

### Support and guidance

Information should be distributed to staff in a manner and form which makes it understandable to them (such as a verbal briefing or circular), and is readily available. A method of replacing superseded documents is recommended.

## M 6 Review

### Requirement

Fleet operators shall have their fleet management system reviewed by senior management at least every 12 months. This shall include the FORS standard requirements.

### Purpose

To ensure that senior management are engaged in reviewing the operations of the company and that there is a management commitment to the upkeep of the FORS requirements and for the continual improvement of the operation.

### Demonstration

Dated minutes from review meetings can be used as evidence of this requirement, and the management manual should contain a review schedule which shall be adhered to.

### Support and guidance

Similar reviews often form part of a robust quality management system and these reviews can be conducted at the same time.

## M 7 Change

### Requirement

Fleet operators shall demonstrate that senior management reviews result in positive changes to the business and such changes themselves are reviewed.

### Purpose

To ensure the continuing improvement of the business.

### Demonstration

Fleet operators should show evidence of management positively changing the business, not just running the day to day operations. This may be by indicating review recommendations that have been enacted or other evidence of strategic decision making from senior management and monitoring of actions.

## Support and guidance

This may follow procedures in any existing robust quality management system.

### M 8 Complaints

#### Requirement

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.

#### Purpose

Complaints from any party can be used to improve the business and should be taken seriously and can gradually increase the compliance record of operators by resolving legal issues.

#### Demonstration

Operators should keep a record (also see O6) of all legal action against them or their drivers (such as Traffic Commissioner or court judgements, Penalty Charge Notices and Fixed Penalties) and records of their review at fleet management system reviews.

Evidence of reaction to non-legal action (such as complaints from members of the public or local organisations) should also be provided where applicable.

Records of any complaints and evidence that they have been acted upon both in the short term and the long term. Compliments and complaints should be reviewed as part of the fleet management system review.

## Support and guidance

A complaints procedure may follow

procedures in any existing robust quality management system.

There are many types of infringement which are enforceable by various bodies. Examples include roadworthiness checks undertaken by VOSA, Improvement and Prohibition Notices issued by the Health and Safety Executive or other authority and Penalty Charge Notices and fixed penalties issued by local authorities or their contractors.

### M 9 Resourcing

#### Requirement

Fleet operators shall ensure that sufficient qualified, trained and experienced staff are in place to run the operation.

#### Purpose

To ensure that overstretched staff do not fail in their safety and efficiency requirements, leading to a breakdown of the operation.

#### Demonstration

Evidence of sufficient staff (which includes their competency) to cover operations. The level of staff should be justified against shifts and schedules, and managerial staff shall be cited within any organisational chart.

Role descriptions should be available for key posts.

## Support and guidance

This may follow procedures in any existing robust quality management system.

### M 10 Updates

#### Requirement

Fleet operators shall have a process for keeping up to date with developments in the industry.

## Purpose

To ensure that new impacts upon the business can be readily understood and reacted to in a timely manner.

## Demonstration

This may be demonstrated by a method of regularly keeping up with developments in the organisation's industry, and that such developments are a focus of fleet management system reviews and action.

## Support and guidance

In any business or industry, the rules governing that particular sector are never static and new rules and practices are being introduced all of the time. This is particularly true when it comes to road transport. It is very useful to have an effective process for keeping up to date with any developments within industry on matters such as legislative compliance, health and safety, employment law and people development. Relevant trade association membership and the review of their notifications, or a subscription to a transport management information service, can often satisfy many of these requirements.



◆ [Annex 2: Useful sources of information](#)

# 5 Vehicles

The following requirements are mandatory.

## V 1 Inspection and maintenance plan

### Requirement

Fleet operators shall have an equipment inspection and maintenance plan which is carried through and recorded.

### Purpose

Equipment, including vehicles, trailers and related machinery, require planned and proactive maintenance to operate safely, legally and efficiently.

### Demonstration

An equipment maintenance plan related to the statutory legal check requirements (such as MOT test), safety inspections, and manufacturer's maintenance plans (or any other justification) can be used to demonstrate compliance with this requirement. This should plan maintenance at least six months in advance, and highlight vehicles and equipment which are not serviced, inspected, or tested as per the plan.

The plan should be reviewed regularly, and always when vehicles are changed.

Where maintenance is undertaken in-house evidence of suitable resources to undertake this shall be demonstrated. Where undertaken externally evidence of a formal agreement for this should exist.

Operations should keep maintenance records for at least 15 months (also see O6).

Equipment can mean any equipment related to the operation of the service, which may include cranes, hoppers, fork-lifts etc.



- ◆ VOSA Guide to maintaining roadworthiness - commercial goods and passenger carrying vehicles
- ◆ IRTE: Roadworthiness: Industry Best Practice
- ◆ HSE: vehicle maintenance



- ◆ Road Traffic Act 1988 (Part II)
- ◆ Provision and Use of Work Equipment Regulations 1998 (PUWER)
- ◆ Lifting Operations and Lifting Equipment Regulations 1998 (LOLER)

## V 2 Daily vehicle checks

### Requirement

Fleet operators shall ensure that vehicles are checked before each shift.

### Purpose

To ensure that vehicles are inspected for safety by competent drivers and defects rectified (if necessary) by competent persons prior to usage on each shift to ensure the safety of operations.

### Demonstration

A system of daily walk-around checks for each vehicle should be demonstrated using a checklist and vehicle defect form (which will also record nil defects), and auditors may witness such inspections being undertaken by randomly selected drivers.

Immediate issues should be rectified before the vehicle is permitted to be used on the public highway, and un-roadworthy vehicles


shall be removed from service. Vision-related safety parts of vehicles should be cleaned as necessary.

All drivers and repairers shall be competent in undertaking these tasks.

Records shall be retained for 15 months in a legible condition for inspection by the auditors, except for nil defect reports which must be kept until the next safety inspection.

### Support and guidance

Operations should keep defect and repair sheets for at least 15 months (also see O6).



- ◆ VOSA: Guide to maintaining roadworthiness
- ◆ HSE: Vehicle maintenance

## V 3 Specialist equipment

### Requirement

Fleet operators shall ensure that all specialist equipment (if a requirement of the operation) such as (but not limited to):

- ◆ Speed limiters
- ◆ Tachographs
- ◆ Tanks
- ◆ Lifting equipment (cranes, tail lifts etc)

is inspected, calibrated, serviced and recalibrated according to legal and/or manufacturer's requirements.

### Purpose

To ensure that specialist equipment is in good working order to comply with safety and legal requirements.

### Demonstration

A schedule of tachograph calibration and servicing requirements complete with records (also see O6) for each relevant vehicle can serve this purpose.

### Support and guidance

Tachographs and speed limiters (where required) must be inspected at specialist centres.



- ◆ Business Link: Approved Tachograph Centres



- ◆ Tanker Inspection - Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009
- ◆ Lifting equipment Inspections – Lifting Operations and Lifting Equipment Regulations 1998
- ◆ Provision and Use of Work Equipment Regulations 1998

## V 4 Insurance

### Requirement

Fleet operators shall hold a minimum of third party insurance or self-insurance for the whole fleet, employers' liability insurance held for the business, and 'public liability' and 'goods in transit' and any other relevant insurance specific to the actual operational activity are considered.

### Purpose

To ensure that all vehicles being used on the public highway are insured to at least the minimum legal requirement, and that optional insurance requirements have been considered.

## Demonstration

Insurance documents covering the fleet vehicles and their uses and drivers, or evidence of self-insurance can be used for this requirement.

A review system should also be in place for making sure the insurance is in date, and that all vehicles, drivers, and vehicle uses are covered.

Regular claims review meetings with the appropriate broker and insurer, complete with an improvement plan can demonstrate a review of insurance incidents.

Management review meeting minutes should indicate that the various types of non-obligatory insurances have been considered.

There should also be a requirement that the client provide evidence of their current insurance cover and compliance with the mandatory Motor Insurance Database completion.

## Support and guidance



- ◆ Association of British Insurers: Insurance Advice for Businesses



- ◆ Road Traffic Act 1998 section 143
- ◆ Employers' Liability (Compulsory Insurance) Act 1969

### V 5 Vehicle excise duty

## Requirement

Fleet operators shall ensure that the appropriate vehicle excise duty is paid for all applicable vehicles (and trailers where applicable).

## Purpose

To ensure that all vehicles being used on the public highway have paid the appropriate rate of vehicle excise duty for the duration they are used on the highway.

## Demonstration

This requirement should be demonstrated by evidence of tax discs in vehicles with other supporting information, and a register of fleet vehicles' taxation requirements with regular review to ensure ongoing payment of duty. Statutory Off Road Notification (SORN) is required for untaxed vehicles.

## Support and guidance



- ◆ Direct Gov: Taxing an LGV



- ◆ Vehicle Excise and Registration Act 1994

### V 6 Safe loading

## Requirement

Fleet operators shall ensure that vehicles are safely loaded and that appropriate load restraints are used.

## Purpose

To ensure that vehicle loads in normal and emergency situations do not cause a hazard.

## Demonstration

This should be demonstrated by providing evidence of the risk assessment of the type of load carried by each vehicle (dimensions, weight, and movement), providing proper equipment and recorded personnel training (also see O6), and enforcing vehicle loading practices via a regularly reviewed policy so that loads can be carried safely.



A system of ascertaining and recording the dimensions and weights of vehicles before they use the road shall be in place where size and weight is likely to be an issue.

Drivers shall be informed if their vehicle exceeds 3m in height via cab height warning notices.

## Support and guidance

Fleet operators need arrangements in place to make sure that the right type of vehicle is used for the load, and instructions are provided for drivers and loading staff on vehicle loading including load distribution and security, and about the location and use of weighbridges.



- ◆ DfT: Safety of Loads on Vehicles Code of Practice
- ◆ HSE: Work Place Transport, Safe Loading



- ◆ The Road Vehicles (Construction and Use) Regulations 1986
- ◆ Health and Safety at Work Act 1974

## V 7 Vehicle falls

### Requirement

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.

### Purpose

To ensure the safety of persons around vehicles, which can often involve working at height. This specifically includes drivers and those who assist them in loading activities, and passengers in passenger carrying vehicles.

## Demonstration

Written risk assessments of vehicle access and falls related to the type of operation, and evidence of required action to prevent such risks (such as training) can demonstrate applicability to this requirement.

The risk assessments shall form the basis of an access to vehicles policy and safe systems of work which shall be regularly reviewed.

## Support and guidance

Vehicle falls are a health and safety matter with legal responsibilities on the employer. Advice is available for suitable, practicable, and effective measures to prevent falls (of person or objects) likely to cause personal injury.



### V 8 Vehicle manoeuvring

## Requirement

Fleet operators shall risk-assess, mitigate, and control where appropriate risks from vehicle manoeuvring including driving forward, reversing, towing, uncoupling, and parking.

## Purpose

To reduce the potential to injure people and property through the careful control of vehicles.

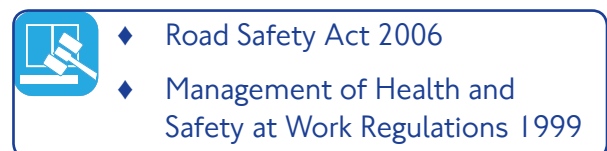
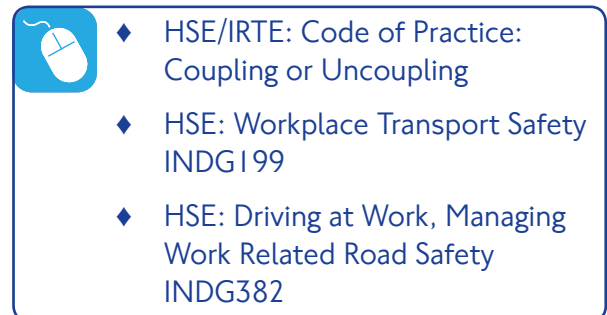
## Demonstration

A risk assessment (in conjunction with claims data) followed by regularly reviewed documented policy and training where necessary, should be undertaken on vehicle movements. This includes movements

on and off site (including the street). Any collisions (minor or major) should be reacted to immediately and form part of the fleet management system review.

## Support and guidance

For articulated vehicles, guidance is available to help understand and limit risks from vehicle coupling incidents. Incidents and injuries can also occur due to vehicles reversing and manoeuvring, especially in tight spaces. Suitably effective measures to prevent these should be taken (such as the use of banksmen), and as in other health and safety related areas, the first port of call in identifying any hazards is through risk assessments.



### V 9 Fuel and tyre usage

## Requirement

Fleet operators shall record, monitor, and manage fuel and tyre usage.

## Purpose

To improve the safety, efficiency and environmental performance of operations.

## Demonstration

A regularly reviewed robust fuel management policy and programme should be in place.

## 6 Drivers

Fuel usage by each driver against each vehicle on a mpg basis should be recorded (also see V2). Evidence of the review of this information should be demonstrated, and actions to reduce fuel usage enacted and recorded. This may include a whole range of measures including; training drivers in fuel efficient driving techniques, changing vehicles used or operating practices, setting targets for various KPIs and monitoring, use of IT to minimise empty running, maximising vehicle fill, and highlighting wasted mileage.

Daily vehicle check records (also see V2) may be used to understand tyre wear from tread depths and to facilitate tyre rotation. Tyre pressures should be stated on the vehicle.

A documented system for tyre disposal and recycling should be kept, which may involve disposal and recycling via an appropriate third party.

### Support and guidance

Tyre condition and pressure (which are also mandated by law) can directly impact fuel economy and tyre wear.



- ◆ Department for Environment, Food and Rural Affairs: The Guidance on measuring and reporting Greenhouse Gas emissions from freight transport operations
- ◆ Department for Energy and Climate Change: Climate Change Act
- ◆ Commercial Motor
- ◆ Motor Transport
- ◆ Energy Saving Trust: Fuel efficient Driving
- ◆ TfL: Smarter Driving



- ◆ The Road Vehicles (Construction and Use) Regulations 1986 – Regulation 27

The following requirements are mandatory.

### D I Licensing and qualifications

#### Requirement

Fleet operators shall ensure that licences and qualifications are checked by a competent person / authority prior to driving, and then at least every 6 months.

#### Purpose

To ensure that drivers are and continue to be properly licensed for vehicles and qualified to operate equipment.

#### Demonstration

This can be demonstrated by keeping a log of all drivers against licence/certificate type and licence/certificate expiry, with (photocopy) records of driving licences and equipment certificates (also see O6). Endorsements and disqualifications should also be recorded on the same matrix. Records of checking this should be available for each driver every six months by a competent person or by an approved DVLA driving licence checking service using their risk rating. The records can also be repeated in any driver's file. This includes temporary drivers for as long as they are working under the control of the fleet operator.

The system should alert users sufficiently in advance of licence/certificate expiry to allow for retesting.

The system shall also require drivers to immediately report endorsements and

disqualifications (of both driving and vocational licences), which shall be recorded.

## Support and guidance

The persons undertaking the checks of licences should understand the driving requirements and how to interpret the licence (including foreign-issued licences where required).

Typical information from driving licences (original licence NOT a photocopy) to be recorded are:

- ◆ Driver's details
- ◆ Driver's number matches with the driver's details
- ◆ The driver is entitled to drive the group(s) of vehicle for which they are employed
- ◆ Issue numbers match on both paper part and licence card
- ◆ Information codes
- ◆ Any endorsements and disqualifications
- ◆ Expiry dates (including photocard, and any foreign licences which may have time restrictions on UK driving)

Whilst all drivers need a driving licence applicable to the type of vehicle driven by them, additionally some may require specialist licences such as ADR dangerous goods licences and certificates to operate mechanical handling equipment such as lorry-mounted cranes and tail-lifts. Many operations also require drivers to have a Driver CPC qualification. Drivers in contact with vulnerable persons may be required to hold a Criminal Records Bureau certificate. Remember to check that drivers hold the appropriate categories for towing if required.



- ◆ DVLA: INS57P guide to licence detail
- ◆ VOSA: The Safe Operator's Guide
- ◆ Criminal Records Bureau
- ◆ Department for Transport: Dangerous Goods Safety Advisors
- ◆ Freight Transport Association: Yearbook of Road Transport Law



- ◆ The European Agreement concerning the International Carriage of Dangerous Goods by Road
- ◆ Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009
- ◆ The Motor Vehicles (Driving Licences) Regulations 1999

## D 2 Driving standards

### Requirement

Fleet operators shall expect that anyone driving on business shall drive within the Highway Code and company policy at all times and pay particular regard to other road users.

### Purpose

To ensure the upkeep of general driving standards and the safety of all road users.

### Demonstration

This requirement can be demonstrated by a written policy on driving standards at work which has been created by competent persons and is subject to minuted management review to ensure emerging issues in driving standards are addressed.

The policy shall cover: driver responsibilities, safety, speed limits, vulnerable road users, actions following breakdowns and collisions, safety equipment (where applicable), mobile phones, drink and drugs, and fatigue.

Documentation covering these policies shall be given to drivers alongside (recorded) induction training (also see D3), and be clearly displayed in the workplace. Drivers shall be re-briefed following any update, or at least once every 3 years. Drivers may be asked to demonstrate their knowledge of the policy.

### Support and guidance

Fleet vehicles share the roads with many other vehicles, some of which are at a far greater risk than others. Fleet operators shall take adequate steps to share the road safely with other road users, with particular emphasis on the type of road users at special risk.

Examples of vulnerable road users include:

- ◆ Pedestrians
- ◆ Cyclists
- ◆ Motorcyclists
- ◆ Highway workers

These road users need to be highlighted to driving staff, particularly if a specific vulnerable group is at risk from the organisation's activities. Control measures to reduce risks should then be identified and adopted by the organisation.



- ◆ RoSPA: Drivers and vulnerable road users leaflet
- ◆ Directgov: The Highway Code
- ◆ Driving Standards Agency



- ◆ Road Traffic Act 1988 – Part I

## D 3 Staff training

### Requirement

Fleet operators shall ensure that staff knowledge/training requirements are understood, implemented, and recorded.

### Purpose

To ensure that all staff have the appropriate regulatory knowledge and skills to competently conduct their duties.

### Demonstration

Demonstration of this requirement should encompass an overall plan for the competencies required for the transport operation (for all relevant staff, not just drivers), against a matrix of staff with those skills; this will reveal any competency gaps to be filled. Plans should be in place to ensure that sufficient numbers of staff with the requisite skills are available now and in the future, which shall include an understanding of when to keep training up to date. Records of relevant training shall also be demonstrated (also see O6).

Individual driver training plans should be updated when their role or vehicle/equipment changes.

Drivers shall be given an induction of company policy and practice prior to starting work and this shall be recorded (also see O6).

Drivers shall undergo an assessment of their operation (driving vehicles and use of equipment) prior to starting work and periodically, and this shall be recorded (also see O6).

### Support and guidance

Systems are commercially available to assist organisations in keeping track of and proactively managing staff qualifications,

training and development, as well as licence renewal and regulatory certification.

- 
- ◆ Skills for Logistics
  - ◆ Business Link: Driver CPC
  - ◆ RoSPA: Driver Assessment and Training. MS305
  - ◆ CILT(UK): Staffmark: People Compliance Solutions
  - ◆ FTA: Driver CPC Compliance Guide

- 
- ◆ The Vehicle Drivers (Certificates of Professional Competence) Regulations 2007
  - ◆ The Motor Vehicles (Driving Licences) Regulations 1999

## D 4 In-vehicle technology

### Requirement

Fleet operators shall have policies in place to not cause or permit a driver to use a mobile phone or other distractive in-vehicle technology while driving.

### Purpose

To ensure that drivers are not distracted from safe driving by in-vehicle technology such as satellite navigation and mobile phones.

### Demonstration

Fleet operators should provide evidence that mobile phones and other in-vehicle technology (including hands-free equipment) are considered and managed (either through design, placement, policy and practice, or removal) via a written policy. This may first involve a short report on the vehicle technology in place in the fleet's vehicles and its impact upon driver distraction. This report should be signed off at the senior management level and used to create a regularly reviewed company policy which shall

include the use of technology when driving.

Where hands-free equipment is allowed the terms of their use shall be covered by guidelines which may include limiting call duration and private equipment use.

Drivers shall be made aware of the policy and be required to comply.

### Support and guidance

Whilst many technologies are extremely useful to operations (and may not be specifically prohibited by law), their use in practice should be carefully considered.

- 
- ◆ RoSPA: Driving for Work: Mobile Phones
  - ◆ RHA: Technical Bulletin No.12 - Mobile Phone Use

- 
- ◆ Road Traffic Act and Road Vehicle (Construction and Use) Regulations Amendment 2003

## D 5 Health and safety

### Requirement

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.

### Purpose

To ensure the health, safety and welfare of persons at work and for protecting others against risks to health and safety.

### Demonstration

This requirement can be demonstrated by a written health and safety policy (covering at least vehicles on the road and workplace transport safety) which has been created by

competent persons with practical knowledge of the work activities and subject to review (and alteration if required) by minuted management meetings to find the causes of issues. Evidence in the management meetings of the consideration of risk and preventive measures to reduce it should be available, and the policy shall be signed by senior management. This can also include staff meetings, surveys and employee feedback systems.

There shall be a person within the company appointed to have responsibility over this policy, and have sufficient authority to exert adequate influence.

Drivers may be asked to demonstrate their knowledge of the health and safety policy. The written policy itself should be clearly displayed in the workplace, and should specifically detail what any staff member can do to report incidents, near misses, and potential future issues, along with evidence of its implementation such as training records (also see D3).

A written risk-assessment of each vehicle type health and safety issue should be provided as evidence. This may include any sort of risk which impacts upon driver occupational health including driving position, moving loads by hand or machinery, and vibration.

### Support and guidance

A variety of government and charitable information sources exist to help reduce health and safety issues in the transport sector.



- ◆ HSE: Workplace Transport Safety INDG199
- ◆ HSE: Health and Safety in Road Haulage
- ◆ HSE: Driving at Work, Managing Work Related Road Safety INDG382
- ◆ IOD & HSC: Leading Health and Safety at Work – Leadership actions for Directors and Board Members INDG417
- ◆ RoSPA: Managing Occupational Road Risk (MORR)



- ◆ Health and Safety at Work Act 1974

## D 6 Driver fitness and health

### Requirement

Fleet operators shall ensure that driver health is managed.

### Purpose

To ensure the safety of drivers and the public from occupational and lifestyle-related health issues.

### Demonstration

Fleet operations staff should be given clear guidance on how to recognise driver impairment through alcohol or drugs, driver fatigue, and eyesight issues and react appropriately when found.

Driver eyesight should be checked (such as reading a new style number plate at a distance of 20.5 metres) prior to starting work and at least every six months, and preferably checked at an optician following each incident or near-miss.

A policy and procedure shall be in place to require drivers to notify the fleet operator of


any fitness issues or changes that may affect their entitlement and ability to drive.

## Support and guidance

Drivers may suffer from a range of ailments (such as sleep apnoea), which may appear during their working life and affect their driving and licence entitlement. Any suspected ailments can be referred to a trained medical professional such as the driver's own GP.



- ◆ RoSPA: MS 305 'Fitness to Drive'
- ◆ DSA: Driving eyesight requirements
- ◆ RoSPA: Drink and drugs
- ◆ NHS: Introduction to sleep apnoea
- ◆ DVLA: At a glance Guide to the Medical Standards of Fitness to Drive
- ◆ Directgov: The Highway Code



- ◆ Road Traffic Act 1988
- ◆ Management of Health and Safety at Work Regulations 1999

## D 7 Drivers' hours and working time

### Requirement

Fleet operators shall have policies and procedures to manage both drivers' hours and total working time for all (where applicable).

### Purpose

To ensure that drivers are sufficiently alert so that they drive in a safe manner, by complying with the Working Time Directive and Road Transport Directive.

## Demonstration

Operators should provide evidence of planning shifts or general work to ensure that drivers' hours and working time regulations for applicable vehicle types are not infringed (including where drivers work for more than one employer).

In all cases (including those drivers who do and do not require a tachograph or log book), the total time of work including driving activities shall be considered.

Operators shall also provide evidence of recording and examining driver hours (via tachographs for relevant operations, but other means for non-tachograph operations), and evidence of addressing incidents where driver hours are exceeded (also see D8).

Where relevant, analogue tachograph charts, digital printouts and log books shall be kept for at least 12 months for drivers' hours rules and for 24 months for Working Time Directive purposes, with a suitable system for keeping these records (also see O6). Operators shall demonstrate how they provide spare tachograph charts and logbooks to drivers.

## Support and guidance

Drivers' hours are governed by the Working Time Directive (for all workers) and the Road Transport Directive for mobile workers on EU operations as well as European and domestic drivers' hours rules and regulations. Operators should give due consideration to these rules when planning journeys and scheduling drivers' work. Drivers and other relevant staff should receive adequate training and instructions that enable them to understand and comply with the rules.





- ◆ VOSA: The Safe Operator's Guide
- ◆ VOSA: Rules on Drivers' Hours and Tachographs
- ◆ FTA: Yearbook of Road Transport Law
- ◆ Business Link: Working time for mobile workers
- ◆ FTA: Tips for dealing with working time regulations



- ◆ EC Working Time Directive (93/104/EC) The Road Transport Directive (2002/25/EC)
- ◆ EC Regulation 561/2006 on drivers' hours and tachographs

additional training.

Driving infractions resulting in penalty points which occur privately shall also be recorded (as an excess of points will invalidate a driving licence).

Absolute numbers and trends should be monitored at fleet management system reviews.

### Support and guidance

Monitoring may involve the process of viewing each driver's paper counterpart licence on a regular basis or using one of the licence checking services available.



- ◆ Road Safety Act 2006

## D 8 Monitoring driving

### Requirement

Fleet operators shall record and monitor all driving infractions, and take remedial action to minimise future recurrences.

### Purpose

To have systems in place to detect and react to issues with individual drivers, for the purpose of safety.

### Demonstration

Operators should provide evidence that all driving infractions (such as any incident which does or would result in endorsable points to the driver's licence) are recorded (also see D1) and reviewed in the short and long term and that action is taken against such drivers. This shall require a regularly reviewed written company policy to such effect with procedures for action following each event, and action may include training or disciplinary action for persistent offenders, or redeployment for those un-reactive to

# 7 Operations

The following requirements are mandatory.

## 01 Routing and scheduling

### Requirement

Fleet operators shall ensure that the most efficient, safe, and appropriate vehicles and routes are used.

### Purpose

To reduce operational costs to the business and risk to all road users by managing route and vehicle choice.

### Demonstration

Evidence of vehicle routing and a written policy which attempts to minimise costs. The routing/scheduling shall also take into account driving hours regulations and other fees/tolls and constraints. This should involve describing the type of operation and any high risks involved (such as incidents with cyclists) and choosing routes which minimise this risk where possible.

Evidence should also demonstrate providing drivers with information regarding parking restrictions and charges, and any methods of paying tolls.

### Support and guidance

There is an increasing array of routing issues, restrictions and payments that need to be taken into account when planning the routing and scheduling of vehicles out on the road. These include the following:

- ◆ Abnormal loads routing
- ◆ Congestion charging
- ◆ Construction Logistics Plans

- ◆ Dangerous goods routing and parking conditions
- ◆ Delivery curfews and permit requirements - for example, the London Lorry Control Scheme
- ◆ Delivery and Servicing Plans
- ◆ Loading and unloading restrictions
- ◆ Low Emission Zone
- ◆ Parking controls
- ◆ Satellite navigation larger vehicle routing
- ◆ Tunnel restrictions
- ◆ Tunnel/motorway tolls
- ◆ Vehicle weight and dimension restrictions

Fleet operators should ensure that all staff, especially drivers and planning/scheduling personnel, have all the instructions required and information to hand and that there are systems for the payment of tolls and charges. In the case of the Low Emission Zone (LEZ), if any vehicles do not meet the minimum requirements for emissions then arrangements shall need to be made for the payment of the emission charge.

Height, width and length of vehicles need to be considered when routing, to avoid low and narrow bridges and sharp turns. Drivers need to know the dimensions of the vehicle and load.



- ◆ PIE: London Lorry Guide
- ◆ PIE: London Van Guide
- ◆ [www.londonlorrycontrol.com](http://www.londonlorrycontrol.com)
- ◆ VOSA: The Safe Operator's Guide
- ◆ FTA: Compliance Guide – Greater London Low Emission Zone

## O 2 Transport related fines and charges

### Requirement

Fleet operators shall effectively deal with the causes of fines and charges incurred.

### Purpose

To reduce undesirable actions (which result in fines), and to better manage the expenditure of charges.

### Demonstration

A procedure should be in place which records fines (also see O6) against each driver and briefly records the reasoning behind each fine. Drivers should be informed to report the details of all transport related fines and charges, this should include Penalty Charge Notices and Fixed Penalties and should be clearly communicated in the driver handbook. Measures (such as driver training or route re-scheduling) shall be considered to reduce trends in fines.

Charges (such as congestion and toll charges) should be monitored to allow an understanding of how costs can be managed. Records and trends shall be discussed at minuted management reviews.

### Support and guidance

Transport related fines are an indicator that the transport operation is not operating in conjunction with law, many fines (such as from loading contraventions) may be avoided by simply rescheduling journeys, educating drivers as to suitable locations to stop, or negotiating with the local authority where stopping elsewhere is otherwise impracticable.

Routing programmes (online and sat-nav) will often advise of tolls and other charges so that a decision on route can be made in advance.

## O 3 Specialist goods

### Requirement

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.

### Purpose

To ensure the safety of people and the environment from incidents involving waste, dangerous goods, and abnormal loads.

### Demonstration

Evidence of appropriate best practice, permissions and licensing for waste, dangerous goods, and abnormal loads should be shown. A list of these should be kept, with dates for renewal and review.

Drivers should be properly qualified to carry dangerous goods and provided with the correct documentation and emergency contact details for them.

Operators of abnormal loads shall inform the appropriate authorities (such as the Highways Agency or TfL).

### Support and guidance

Many organisations are involved in the transport of specialist goods which are subject to additional regulations and controls.

Examples include:

- ◆ Waste
- ◆ Dangerous goods
- ◆ Livestock
- ◆ Abnormal loads

If the organisation is involved in the transport of waste and is not exempt, it needs to be registered with the Environment Agency


under the Control of Pollution (Amendment) Act 1989 and any amendments/updates. Fleet operators shall also demonstrate that the organisation complies with the duty of care in respect of Waste Transfer Notes (consignment notes for hazardous waste), and the disposal, keeping and transferring of waste.

If the organisation deals with hazardous waste, compliance with current legislation concerning transport, handling, disposal and the completion and keeping of consignment notes should be evidenced.

With regards to all other specialist goods types that require specific regulation, fleet operators shall need to make sure that all regulations are followed, that staff receive the training that is required and that the correct equipment is supplied for the transportation of the goods in a safe manner.



- ◆ [www.environment-agency.gov.uk](http://www.environment-agency.gov.uk)
- ◆ [www.netregs.gov.uk](http://www.netregs.gov.uk)
- ◆ Defra: Waste - Duty of Care
- ◆ FTA: Dangerous Goods
- ◆ Defra: Livestock Movements
- ◆ Department for Transport: Abnormal Loads
- ◆ Highways Agency: Electronic Service Delivery for Abnormal Loads
- ◆ TfL: Abnormal loads



- ◆ Control of Pollution (Amendment) Act 1989
- ◆ The Waste Management Licensing Regulations 1994
- ◆ Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009
- ◆ The Road Vehicles (Construction and Use) Regulations 1986

## O 4 Incidents

### Requirement

Fleet operators shall ensure that incidents, traffic collisions and reported near-misses are recorded, and that staff and vehicles are properly assessed before returning to the road.

### Purpose

To ensure all incidents are managed in a consistent manner, that collision evidence is captured, and that specific issues with staff or vehicles which contributed to the incident are addressed prior to their return to the road.

### Demonstration

A procedure shall exist to manage incidents to ensure that drivers and vehicles can get back on the road in a timely manner.

Evidence of a record of collisions and near-misses (also see D8), and evidence of the contents of this record being reviewed and reacted to at fleet management system reviews to determine root cause and contributory factors.

Review frequencies should be increased if incident numbers (or their impact) is high.

### Support and guidance

Your insurance company may offer explicit recommendations regarding actions following a road traffic incident which may guide procedures.



- ◆ HSE: Near Miss Recording



- ◆ Corporate Manslaughter and Corporate Homicide Act 2007

## O 5 Insurance claims

### Requirement

Fleet operators shall ensure that insurance claims are reviewed and reacted to.

### Purpose

To reduce incidents, claims frequency, costs to society, and insurance costs to the operator.

### Demonstration

This requirement should be demonstrated by records (also see O6) of each insurance claim with trend and cost analysis and reviews of this at fleet management system reviews.

The reviews should consider:

- ◆ risk assessments
- ◆ management of drivers
- ◆ post incident processes
- ◆ driver behavioural training

### Support and guidance

All insurers and/or brokers will be able to provide claims data depending on the arrangement in place.

## O 6 Record control

### Requirement

Fleet operators shall ensure that all records are adequately retained and controlled, specifically including driving events.

### Purpose

To ensure the proper operation of the management system, and to be able to assign fuel efficiency, driving infringements, reports of poor driving and insurance claims to individual drivers so that appropriate remedial

action may be taken.

### Demonstration

Evidence can include a sensible filing system which retains documents or electronic data in a retrievable and legible format that can be easily found. This filing system shall contain at least all documents required by this FORS standard for the amount of time specified. Control of documents should be maintained to ensure that superseded copies of documents are not used, and that the version number of documents can be verified at any time.

### Support and guidance

Record keeping may follow procedures in any existing robust quality management system.

Regarding driving events, the Road Traffic Act 1988 s172 describes a duty to identify the driver in certain circumstances.



◆ Road Traffic Act 1988

## 8 Silver and gold progression

Silver and gold FORS members are high-quality operators that are committed to becoming safer, greener and more efficient.

Gold is the highest FORS award, followed by silver and then bronze. To progress an operator must meet all the requirements of lower awards. Progression to silver or gold membership is not mandatory but may help in complying with more rigorous procurement conditions.

Silver requirements are based primarily around putting in place the systems for improvements, and gold requirements primarily involve enacting those improvements. Variations in approach to a requirement are acceptable provided that they meet its general ethos and are agreed with the certification body.

Silver and gold FORS operators shall provide an annual submission of data to their certification body for review.

### 8.1 Silver progression

#### S 1 Maintain FORS bronze

##### Requirement

Fleet operators shall maintain their FORS bronze certification.

##### Purpose

To ensure the background level of quality in the work undertaken by silver level operators.

##### Demonstration

Planned assessment date and current certification.

##### Support and guidance

The basis of silver is in maintaining the bronze standard. This may be undertaken by any FORS certification body.

### S 2 Promoting FORS standards

##### Requirement

Fleet operators shall provide a commitment via a written plan to promote FORS standards across their supply chain to ensure they meet reasonable standards in line with FORS bronze.

##### Purpose

To provide confidence that consistent standards are being applied across an operator's supply chain.

##### Demonstration

A plan is required which indicates which organisations in the operator's supply chain will be targeted for FORS promotion and how they will be engaged. The supply chain can include the wider spectrum of related businesses including contracted fleets, vehicle leasing companies and driver agencies.

##### Support and guidance

For details of promoting FORS standards and associate status to stakeholders and throughout the supply chain visit the FORS website.



◆ FORS online

## S 3 Staff training

### Requirement

Fleet operators shall put in place a plan for enhanced training and development for drivers and line managers emphasising work related road safety, environmental awareness and operational efficiency. The plan shall incorporate the safety of vulnerable road users for those drivers travelling in urban areas. The training shall be linked to the operator's FORS performance indicators (see S4).

### Purpose

To ensure that there is a plan in place to ensure drivers and line management are aware of the transport related issues that positively contribute to the operator's FORS performance indicators.

### Demonstration

This requirement may be demonstrated via a written training and development plan indicating training and timing against named individuals. See D3 for bronze level training plan details.

### Support and guidance

E-learning, driver training and line management good practice workshops are available, see the FORS website for details. Also a wide variety of organisations offer FORS recognised training.



◆ FORS online

## S 4 Performance measurement

### Requirement

Fleet operators shall baseline data and initiate active monitoring of the following

performance indicators:

- ◆ Total fuel usage and by distances travelled
- ◆ Transport related CO<sub>2</sub> 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

### Purpose

To provide a measure and indicator to determine the effectiveness of initiatives and interventions applied to contribute to operational improvements.

### Demonstration

A baseline data report is to be prepared which covers the required performance indicators. Active monitoring can be demonstrated using a range of data capture methods. This could be by utilising fleet performance tools, spreadsheets or benchmarking systems either offered commercially or promoted through FORS and other organisations. Other data monitoring tools include vehicle telematics, insurance reports, fuel card reports. The method of data capture should be agreed with your certification body. A data report template can be found in Annex 6.

### Support and guidance

FORS recognises most data monitoring approaches. These can either be automated or manual dependent on suitability for the operation.



- ◆ Defra - Guidance on measuring and reporting Greenhouse Gas (GHG) emissions from freight transport operations
- ◆ CILT Benchmarking forum
- ◆ CarbonFTA
- ◆ Energy Savings Trust - Motorvate

## S 5 Close proximity safety equipment

### Requirement

Fleet operators shall put in place a programme to fit vehicles exempt from side-guards with either side-guards or a blind-spot warning system (such as sensor/camera) to reduce blind-spot incidents.

This requirement is only applicable for vehicles over 3.5t GVW travelling in urban areas.

### Purpose

To reduce the risk and severity of close proximity 'blind-spot' incidents and increase the safety of vulnerable road users.

### Demonstration

Operators shall provide a side-guard or blind-spot warning system fitting plan for all relevant vehicles, records indicating what (if any) equipment has already been fitted and when, and evidence of a commitment to roll-out across the relevant fleet such as arrangements with system suppliers.

### Support and guidance

For details of procurement guidance and product discounts visit the FORS website.



- ◆ FORS online

## S 6 Transport related fines and charges

### Requirement

Fleet operators shall investigate and analyse all transport related fines and charges, implementing actions to address any lessons learned and identified trends.

### Purpose

To manage operational risk exposure and associated costs by ensuring the root causes of all transport related fines and charges are identified to inform the operator of any actions required to minimise future re-occurrence.

### Demonstration

A record of all transport related fines and charges shall be maintained which should include details of all evidence required to determine its causal factor. An investigation procedure and supporting documentation shall be in place, this should outline the authority and competencies required by any person required to investigate the circumstances leading to a fine or charge being raised. A record of investigation outcomes shall be maintained, this should include recommendations and remedial actions for both drivers and the fleet operator.

### Support and guidance

For details of the development of transport procedures and investigating fines and charges visit the FORS website for the Penalty Charge Notice toolkit.



- ◆ FORS online

## S 7 Fuel and emissions champion



## Requirement

Fleet operators shall appoint a fuel and emissions champion and implement measures to improve operational efficiency and environmental impact by reducing overall fuel costs, CO<sub>2</sub> and other emissions from vehicular movements.

## Purpose

To ensure both the economic and environmental sustainability of the business.

## Demonstration

Measures may include a range of behaviour change initiatives including the implementation of driver incentive schemes, driver training programmes and internal communication campaigns. Other more technical measures may include the installing of telematics and/or anti idling devices, reviewing vehicle specification such as aerodynamics and load capacity, the use of alternative sustainable fuels and the restructuring of the operation to improve productivity.

## Support and guidance

For details of the development of transport procedures and managing fuel and CO<sub>2</sub> visit the FORS website for the Fuel, CO<sub>2</sub> and emissions toolkit.



◆ FORS: Fuel, CO<sub>2</sub> and emissions toolkit

## S 8 Incidents and collisions

## Requirement

Fleet operators shall ensure that incidents, traffic collisions and reported near-misses are investigated and analysed, implementing actions to address any lessons learned and identified trends.

## Purpose

To manage operational risk exposure by ensuring the root causes of all incidents and collisions are identified to inform the fleet operator of any actions required to minimise future re-occurrence.

## Demonstration

A log of all incidents and collisions shall be maintained which should include details of all evidence required to investigate the incidents. An investigation procedure and supporting documentation shall be in place, this should outline the authority and competencies required by any person required to investigate incidents and collisions. A record of investigation outcomes shall be maintained, this should include recommendations and remedial actions for both drivers and the fleet operator.

## Support and guidance

For details of the development of transport procedures and investigating incidents visit the FORS website for the Safety toolkit.



◆ FORS online

## 8.2 Gold progression

## G 1 Maintain FORS silver

## Requirement

Fleet operators shall maintain both their FORS bronze and silver certification.

## Purpose

To provide a system of progression and ensure the background level of quality in the work undertaken by gold level operators.

## Demonstration

Planned assessment date and current certification of FORS bronze and a portfolio of evidence to support the maintenance of silver requirements.

## Support and guidance

The basis of gold is in maintaining the bronze and silver standards. This may be undertaken by any FORS certification body.

### G 2 Promoting FORS standards

## Requirement

Fleet operators shall provide evidence of actively promoting the FORS standards to their supply chain in accordance with their silver written plan.

## Purpose

To promote and improve standards throughout the industry.

## Demonstration

Operators shall provide documented evidence which demonstrates how the written plan (created as a requirement of silver membership) to promote FORS standards across the supply chain has been successfully enacted. The supply chain can include the wider spectrum of related businesses including contracted fleets, vehicle leasing companies and driver agencies, and evidence can include either FORS membership (or Associate status) or adherence to relevant FORS requirements.

## Support and guidance

For details of promoting FORS standards and FORS associate status to stakeholders and throughout the supply chain, visit the FORS website.



◆ FORS online

### G 3 Staff training

## Requirement

Fleet operators shall implement their silver level plan for enhanced training and development of drivers and line managers emphasising work related road safety, environmental awareness and operational efficiency.

## Purpose

To ensure that drivers and line management are aware of the transport related issues which positively contribute to the operator's FORS performance indicators.

## Demonstration

This requirement may be demonstrated via training and development records, and alterations to related FORS key performance indicators, against the plan created as part of the silver level. It is acceptable for parts of the complete plan to not yet be fully enacted (if the enactment date is after the audit), however it must of at least started and be to plan.

## Support and guidance

E-learning, driver training and line management good practice workshops are available, see the FORS website for details. Also a wide variety of organisations offer FORS recognised training.



◆ FORS online

## G 4 Performance measurement

### Requirement

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<sub>2</sub> 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

### Purpose

To provide the evidence that initiatives and interventions implemented at FORS silver are effective and are contributing to operational improvements.

### Demonstration

A current data report covering the required performance indicators is to be prepared. This shall demonstrate meaningful improvements against the FORS silver baseline in all areas. The report should be supported by output reports from data monitoring and fleet performance tools, benchmarking systems, vehicle telematics and other reports either offered commercially or promoted through other organisations such as insurance claims and fuel card usage. A data report template can be found in Annex 6.

### Support and guidance

FORS recognises most data reporting approaches. These can either be automated or manual dependent on suitability for the operation.

## G 5 Close proximity safety equipment

### Requirement

The fleet operator's entire heavy goods vehicle fleet shall be fitted with a close proximity 'blind-spot' warning system (such as a sensor or camera).

This requirement is only applicable for heavy goods over 18t GVW vehicles travelling in urban areas.

### Purpose

To reduce the risk of close proximity 'blind-spot' incidents and increase the safety of vulnerable road users.

### Demonstration

Evidence of systems being fitted to all applicable vehicles and a plan for fitment to any new/replacement vehicles.

### Support and guidance

For details of procurement guidance and product discounts visit FORS online.



◆ FORS online

## G 6 Driver licence verification

### Requirement

Fleet operators shall ensure that the driving licenses of all owner and agency drivers are both verified with the Driver and Vehicle Licence Agency (DVLA), and assessed against an agreed risk rating scale.

### Purpose

To ensure all drivers are legally licensed prior to driving and to manage the risk of drivers

with penalty points and endorsements.

## Demonstration

Operators should demonstrate evidence of a verification and risk rating process via a contract in place with any approved DVLA licence verification service and signed driver mandates, and periodic risk reports from the licence checking provider with an increased frequency of checks for riskier drivers in line with the risk rating scale.

## Support and guidance

Driver risk ratings should be documented and operators may wish to base their risk rating scale for penalty points on the following basis:

- ◆ 0-3 points: annual
- ◆ 4-8 points: six monthly
- ◆ 9-11 points: quarterly
- ◆ 12+ points: monthly

distribution to relevant parties. Typically this case study will be in electronic format and around 1 – 2 pages.

## G 7 Published case study

### Requirement

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.

### Purpose

To improve and promote standards across an operator's supply chain, customer base, contracted fleets, vehicle leasing and driver agencies.

### Demonstration

Fleet operators shall produce a new or updated short case study annually and provide evidence of its existence, and of its

## 9 Acknowledgements

### Support and guidance

For information of case study development and to see worked examples from existing gold operators visit the FORS website.



◆ FORS online

We would like to acknowledge the following parties in the production of this document:

- ◆ AECOM
- ◆ Automobile Association
- ◆ Association of Car Fleet Operators
- ◆ British Motorcycle Federation
- ◆ British Standards Institute
- ◆ Chartered Institute of Logistics and Transport
- ◆ Chartis Insurance
- ◆ Confederation of Passenger Transport
- ◆ Crossrail
- ◆ Fleet Forum
- ◆ Freight Transport Association
- ◆ Health and Safety Executive
- ◆ Licensed Taxi Driver's Association
- ◆ Metropolitan Police Service
- ◆ QBE
- ◆ Transport Research Laboratory (TRL)
- ◆ Vehicle and Operator Services Agency

# Annex I Glossary

Phrase	Meaning
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 requirements.
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).
Fleet operator	An economic entity which operates a vehicle fleet.
Fleet Operator Recognition Scheme	The recognition scheme described in this document, which is a fleet operations certification scheme.
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.
Initial audit	A first audit of a fleet operator.
Action points	A record of an incidence of non-compliance with the FORS requirements.
Re-approval audit	A periodic audit of a FORS certified fleet operator or auditor.
Scheme administrator	The body responsible for administering FORS.
Follow up audit	An audit convened to observe the correction of any found action point.
Technical Advisory Committee	A committee of competent persons which oversee the activities of the scheme and the scheme administrator.
Witnessed audit	An audit which is witnessed by a representative of the scheme administrator.

## Annex 2 Useful sources of information

Below is a list of organisations (in alphabetical order) that can provide information on matters such as legislative compliance, health and safety and employment law. This list is not exhaustive and is presented in alphabetical order:

- ◆ British Vehicle Rental and Leasing Association (BVRLA)
- ◆ Chartered Institute of Logistics and Transport (CILT)
- ◆ Confederation of Passenger Transport (CPT)
- ◆ Croner Publications
- ◆ Department for Environment, Food and Rural Affairs (Defra)
- ◆ Department for Transport (DfT)
- ◆ Department for Work and Pensions (DWP)
- ◆ Driving Standards Agency (DSA)
- ◆ Freight Transport Association (FTA)
- ◆ Health and Safety Executive (HSE)
- ◆ HM Revenue and Customs (HMRC)
- ◆ Road Haulage Association (RHA)
- ◆ Road Transport Media/Magazines
- ◆ Society of Motor Manufacturers & Traders
- ◆ Vehicle and Operator Services Agency (VOSA)

# Annex 3 Audit details form

## A1 Company details

The following form shall be completed by certification bodies undertaking audits and accompany relevant completed checklists in all cases.

FORS ID			
Company name			
Building name			
Street			
Town			
City			
Postcode			
Manager name			
Position			
Contact phone			
Email			
Number of employees			
Postcodes of all company vehicle operating centres covered by this audit (reference to separate audit forms)			
Postcodes of all company vehicle operating centres not covered by FORS			

## A2 Assessment details

Certification body			
Lead assessor			
Assessor number			
Date(s) of audit			



**A3 Assessment scope**

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

1 Fossil fuel/non fossil fuel based

2 Hydrogen

Describe the type and scope of fleet operations	
What is the organisation's objective to attain or continue FORS accreditation?	

## A4.1 Reporting overview

### Details of previous findings

Evidence relating to previous action point resolution	
Details of open action points from previous audits	

### Present audit findings

Number of major action points	
Number of minor action points	
Number of observations	

## A4.2 Auditor recommendations

Grant certification subject to any minor action point being satisfactorily addressed	Yes/No
Not to grant certification (usually where one or more major action points have been issued).	Yes/No
Auditor's name(s)	Date

# Annex 4 Action plan

Audit details	
Lead assessor	
Date of Audit	

Follow up audit details	
Lead assessor	
Date of Audit	

Ref	Action point	Action owner	Action type	Date due	Action undertaken	Date complete	Follow up audit comments
	The action identified to address any area not meeting a particular requirement	Person responsible for the action	Major Minor or Observation	Agreed date for completion	The specific actions undertaken to address the action point identified	Actual date of completion	Any comments made by the FORS assessor at the follow up audit

## Annex 5 Audit checklists

### A1 Bronze checklist

'Audit notes' should record where evidence of meeting the requirement was found (such as a named document) and explain its level of adherence to the requirements. The 'outcome' shall be expressed as either a pass, major action point, minor action point, or an observation.

Code	Requirement	Audit notes	Outcome
M1	<p><b>Management manual</b></p> <p>Fleet operators shall have a current written management manual which covers all the mandatory requirements of the FORS standard which has been reviewed at least annually by senior members of the organisation.</p>		
M2	<p><b>Responsibilities and authorities</b></p> <p>Fleet operators shall have a description of the responsibilities and authorities of, and links between, senior management and daily operations personnel<sup>2</sup>, including the person having continuous and effective responsibility for the transport operations.</p>		
M3	<p><b>Responsible person</b></p> <p>Fleet operators shall have a formally appointed qualified, trained, and experienced person who runs daily transport operations.</p>		

<sup>2</sup> These may be the same person

Code	Requirement	Audit notes	Outcome
M4	<p><b>Regulatory licensing</b></p> <p>Fleet operators shall hold all regulatory licences necessary for their operation (where applicable).</p>		
M5	<p><b>Communication</b></p> <p>Fleet operators shall demonstrate that company policies are communicated to staff.</p>		
M6	<p><b>Review</b></p> <p>Fleet operators shall have their fleet management system reviewed by senior management at least every 12 months. This shall include the FORS standard requirements.</p>		
M7	<p><b>Change</b></p> <p>Fleet operators shall demonstrate that senior management reviews result in positive changes to the business and such changes themselves are reviewed.</p>		
M8	<p><b>Complaints</b></p> <p>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.</p>		

Code	Requirement	Audit notes	Outcome
M9	<p><b>Resourcing</b></p> <p>Fleet operators shall ensure that sufficient qualified, trained and experienced staff are in place to run the operation.</p>		
M10	<p><b>Updates</b></p> <p>Fleet operators shall have a process for keeping up to date with developments in the industry.</p>		
V1	<p><b>Inspection and Maintenance plan</b></p> <p>Fleet operators shall have an equipment inspection and maintenance plan which is carried through and recorded.</p>		
V2	<p><b>Daily vehicle checks</b></p> <p>Fleet operators shall ensure that vehicles are checked before each shift.</p>		

Code	Requirement	Audit notes	Outcome
V3	<p><b>Specialist equipment</b></p> <p>Fleet operators shall ensure that all specialist equipment (if a requirement of the operation) such as (but not limited to):</p> <ul style="list-style-type: none"> <li>◆ Speed limiters</li> <li>◆ Tachographs</li> <li>◆ Tanks</li> <li>◆ Lifting equipment (cranes, tail lifts etc)</li> </ul> <p>is inspected, calibrated, serviced and recalibrated according to legal and/or manufacturer's requirements.</p>		
V4	<p><b>Insurance</b></p> <p>Fleet operators shall hold a minimum of third party insurance or self-insurance for the whole fleet, employers' liability insurance held for the business, and that 'public liability' and 'goods in transit' and any other relevant insurance specific to the actual operational activity are considered.</p>		
V5	<p><b>Vehicle excise duty</b></p> <p>Fleet operators shall ensure that the appropriate vehicle excise duty is paid for all applicable vehicles (and trailers where applicable).</p>		

Code	Requirement	Audit notes	Outcome
V6	<p><b>Safe loading</b></p> <p>Fleet operators shall ensure that vehicles are safely loaded and that appropriate load restraints are used.</p>		
V7	<p><b>Vehicle falls</b></p> <p>Fleet operators shall risk-assess the potential for persons to fall off vehicles and for unauthorised access to vehicles and take mitigating action where appropriate.</p>		
V8	<p><b>Vehicle manoeuvring</b></p> <p>Fleet operators shall risk-assess, mitigate, and control where appropriate risks from vehicle manoeuvring including driving forward, reversing, towing, uncoupling, and parking.</p>		
V9	<p><b>Fuel and tyre usage</b></p> <p>Fleet operators shall record and react to fuel and tyre usage.</p>		
D1	<p><b>Licensing and qualifications</b></p> <p>Fleet operators shall ensure that licences and qualifications are checked by a competent person/authority prior to driving a vehicle and at least every 6 months.</p>		



Code	Requirement	Audit notes	Outcome
D2	<p><b>Driving standards</b></p> <p>Fleet operators shall expect that anyone driving on business shall drive within the Highway Code and company policy at all times and pay particular regard to other road users.</p>		
D3	<p><b>Staff training</b></p> <p>Fleet operators shall ensure that staff knowledge/training requirements are understood, implemented, and recorded.</p>		
D4	<p><b>In-vehicle technology</b></p> <p>Fleet operators shall have policies in place to not cause or permit a driver to use a mobile phone or other distractive in-vehicle technology.</p>		
D5	<p><b>Health and safety</b></p> <p>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.</p>		
D6	<p><b>Driver fitness and health</b></p> <p>Fleet operators shall ensure that driver health is managed.</p>		

Code	Requirement	Audit notes	Outcome
D7	<p><b>Drivers' hours and working time</b></p> <p>Fleet operators shall have policies and procedures to manage both drivers' hours and total working time for all (where applicable).</p>		
D8	<p><b>Monitoring driving</b></p> <p>Fleet operators shall record and monitor all driving infractions, and take remedial action to minimise future recurrences.</p>		
O1	<p><b>Routing and scheduling</b></p> <p>Fleet operators shall ensure that the most efficient, safe, and appropriate vehicles and routes are used.</p>		
O2	<p><b>Transport related fines and charges</b></p> <p>Fleet operators shall effectively deal with the causes of fines and charges incurred.</p>		
O3	<p><b>Specialist goods</b></p> <p>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.</p>		

Code	Requirement	Audit notes	Outcome
O4	<p><b>Incidents</b></p> <p>Fleet operators shall ensure that incidents, traffic collisions and reported near-misses are recorded, and that staff and vehicles are properly assessed before returning to the road.</p>		
O5	<p><b>Insurance claims</b></p> <p>Fleet operators shall ensure that insurance claims are reviewed and reacted to.</p>		
O6	<p><b>Record control</b></p> <p>Fleet operators shall ensure that all records are adequately retained and controlled, specifically including driving events.</p>		

**A2 Silver checklist**

Code	Requirement	Audit notes	Outcome
S1	<p><b>Maintain FORS bronze</b></p> <p>Fleet operators shall maintain their FORS bronze certification.</p>		
S2	<p><b>Promoting FORS standards</b></p> <p>Fleet operators shall provide a commitment via a written plan to promote FORS standards across their supply chain to ensure they meet reasonable standards in line with FORS bronze.</p>		
S3	<p><b>Staff training</b></p> <p>Fleet operators shall put in place a plan for enhanced training and development for drivers and line managers emphasising work related road safety, environmental awareness and operational efficiency. The plan shall incorporate the safety of vulnerable road users for those drivers travelling in urban areas. The training shall be linked to the operator's FORS performance indicators.</p>		

Code	Requirement	Audit notes	Outcome
S4	<p><b>Performance measurement</b></p> <p>Fleet operators shall baseline data and initiate active monitoring of the following performance indicators:</p> <ul style="list-style-type: none"> <li>◆ Fuel usage by distances travelled</li> <li>◆ Transport related CO<sub>2</sub> output and by distance travelled</li> <li>◆ Total incident and collision data and costs involving personal injury, vehicle or property damage</li> <li>◆ Total transport related fines and charges</li> </ul>		
S5	<p><b>Close proximity safety equipment</b></p> <p>Fleet operators' shall put in place a programme to fit vehicles exempt from side-guards with either side-guards or a blind-spot warning system (such as sensor/camera) to reduce blind-spot incidents.</p> <p>This requirement is only applicable for vehicles over 3.5t GVW travelling in urban areas.</p>		
S6	<p><b>Transport related fines and charges</b></p> <p>Fleet operators shall investigate and analyse all transport related fines and charges, implementing actions to address any lessons learned and identified trends.</p>		

Code	Requirement	Audit notes	Outcome
S7	<p><b>Fuel and emissions champion</b></p> <p>Fleet operators shall appoint a fuel and emissions champion and implement measures to improve operational efficiency and environmental impact by reducing overall fuel costs, CO<sub>2</sub> and other emissions from vehicular movements.</p>		
S8	<p><b>Incidents and collisions</b></p> <p>Fleet operators shall ensure that incidents, traffic collisions and reported near-misses are investigated and analysed, implementing actions to address any lessons learned and identified trends.</p>		

**A3 Gold checklist**

Code	Requirement	Audit notes	Outcome
G1	<p><b>Maintain FORS silver</b></p> <p>Fleet operators shall maintain both their FORS bronze and silver certification.</p>		

Code	Requirement	Audit notes	Outcome
G2	<p><b>Promoting FORS standards</b></p> <p>Fleet operators shall provide evidence of actively promoting the FORS standards to their supply chain in accordance with their silver written plan.</p>		
G3	<p><b>Staff training</b></p> <p>Fleet operators shall implement their silver level plan for enhanced training and development of drivers and line managers emphasising work related road safety, environmental awareness and operational efficiency.</p>		
G4	<p><b>Performance measurement</b></p> <p>Fleet operators shall make meaningful improvements against the FORS silver baseline data in the following performance indicators:</p> <ul style="list-style-type: none"> <li>◆ Fuel usage by distances travelled</li> <li>◆ Transport related CO<sub>2</sub> output and by distance travelled</li> <li>◆ Total incident and collision data and costs involving personal injury, vehicle or property damage</li> <li>◆ Total transport related fines and charges</li> </ul>		

Code	Requirement	Audit notes	Outcome
G5	<p><b>Close proximity safety equipment</b></p> <p>The fleet operators' entire heavy goods vehicle fleet shall to be fitted with a close proximity 'blind-spot' warning system (such as a sensor or camera).</p> <p>This requirement is only applicable for heavy goods over 18t GVW vehicles travelling in urban areas.</p>		
G6	<p><b>Driver licence verification</b></p> <p>Fleet operators shall ensure that the driving licenses of all own and agency drivers are both verified with the Driver and Vehicle Licence Agency (DVLA), and assessed against an agreed risk rating scale.</p>		
G7	<p><b>Published case study</b></p> <p>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.</p>		



# Annex 6 FORS progression data report

The following data report template can be used to submit data relating to the required silver and gold performance indicators. Data for a 12 month period is required and must cover the entire fleet registered with FORS. Additional data can be submitted where

these support evidence of efficiency and performance monitoring and might include for example, vehicle fill, empty running, fuel used per tonne delivered, volumes carried, drops per trip.

	Baseline year	Baseline year plus 1	Baseline year plus 2	Baseline year plus 3
From				
To				

Performance indicator		Unit of measurement <input checked="" type="checkbox"/>	Data	Data	Data	Data
Distance travelled	Total distance recorded across the fleet	Km <input type="checkbox"/>				
		Miles <input type="checkbox"/>				
Fuel used*	Total fuel recorded across the fleet	Litres <input type="checkbox"/>				
		Gallons <input type="checkbox"/>				
CO <sub>2</sub> output**	1 litre diesel = 0.002648 Tonnes of CO <sub>2</sub>	Tonnes				
Traffic incidents and collisions	Damage only	Number of				
	Slight injury					
	Serious injury					
	Fatal					
Cost of incidents and collisions	Third party costs	£ <input type="checkbox"/>				
		Euro <input type="checkbox"/>				
	Own damage costs	£ <input type="checkbox"/>				
		Euro <input type="checkbox"/>				
Penalty Charge Notices	LLCS	Number of				
	Congestion Charge/LEZ					
	Moving traffic offence					
	Loading, unloading, parking					
Additional data to support FORS progression						

\* Provide separate data for petrol and gas used by the fleet

\*\* Defra, 2011 Guidelines to Defra / DECC's GHG Conversion Factors for Company Reporting, 2011

