

FORS audit form



Audit details

Company name	Tool Out Ltd t/a Jointing Technologies
FORS ID	4202
Operating centre name	Unit 19
Contact name	Leon Sturt
Date of audit	06/06/2019
Type of audit	Re-approval audit
Contractual reason	TFL,MACE,Crossrail,Other Local Authorities,Other Private Contractor

Audit result

Management	Pass with comments
Vehicles	Pass
Drivers	Pass with comments
Operations	Pass
Overall	Pass

Operating Centres

Do you require accreditation across all of your operating centres?	Yes
How many operating centres does your company have in total?	1
Do all of your operating centres operate under the same policies and procedures?	Yes
Total number of audits required for company accreditation:	1 audits

Audit number x of x	1 of 1
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Please complete all mandatory red boxes

Start Time	08:45
End Time	14:15

Present audit findings

Number of major action points	0
Number of minor action points	4

If the audit result is a fail, you will be required to undergo a follow-up audit within 30 days of notification of the audit result.
If you do not have a follow-up audit within 30 days of notification of failure of the audit, this will result in another initial audit having to be conducted.

Describe the type and scope of fleet operations	Jointing Tech, distribute Electrical components and jointing equipment to businesses and utility companies using 3 Vehicles under 3.5 tonne.
What is the organisation's objective to attain or continue FORS accreditation?	The company require to maintain accreditation for contractual reasons and best practise.

Introduction

This spreadsheet covers Annexes 3, 4 and 5 of the Fleet Operator Recognition Scheme standards and is broken down as follows:

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Standard Version	5
Spreadsheet Version	2019-01-29-2

Auditing

Auditors shall review a random sample of client vehicle records for conformity at all audits dependent on fleet size:

1 - 3 vehicles - 100% of vehicle records will be checked

4 - 10 vehicles - three vehicle records will be checked

11 - 20 - 20% of vehicle records will be checked

21+ - at least five vehicle records will be checked

The objectives and timings of any audit shall be reiterated in an opening meeting at the beginning of any audit

'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. Sole traders will need to demonstrate at least verbally that they have a comprehensive understanding of all requirements for a safe and legal operation. The 'outcome' shall be expressed as either a pass, major action point, minor action point, or an observation.

Reporting	Usage
Pass	Fully satisfied all requirements
Minor action point	Satisfied requirements but with some minor issues
Major action point	Requirements not satisfied and in need of timely corrective action

A copy of the completed audit checklist will be discussed with the client at a closing meeting at the end of any audit. The auditor should discuss his/her recommendation but highlight that it will be subject to verification.

Post-audit processes

A person within the certification body other than any auditor involved with a given audit shall review the contents of any completed audit checklist prior to forwarding to the scheme administrator

Any audit checklist shall be typed into this spreadsheet and emailed to the scheme administrator in electronic MS Excel format within 2 working days from the date of the audit.

Certification bodies shall report any misuse of the FORS scheme marks or wording to the scheme administrator, this may involve the review of client paperwork and vehicles bearing the FORS logo

Certification bodies shall inform their client of the scheme administrator's certification decision

Auditors shall complete 100% of the audit checklist (in the annex to the FORS requirements) as a record of the audit.

Company details

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

FORS ID	4202	
Company name	Tool Out Ltd t/a Jointing Technologies	
Operating centre name	Unit 19	
First line of address (Street)	Unit 19, Woking Business Park	
Town	Woking	
Postcode	GU21 5JY	
Country	UK	
Contact name	Leon Sturt	
Position	Warehouse and Logistics Manager	
Contact phone	01483 778 418	
Email	leon.sturt@jointingtech.co.uk	
Number of employees	72 (3 drivers)	
Do you use sub contractors /owner drivers?	Yes	
If yes; Does your company policy state that sub contractors/owner drivers must adhere to the FORS standards?		
Do you maintain records (Operator Licence, insurance, medical, safety etc.) on owner drivers/sub contractors centrally?	Yes	
Are you joining FORS for contractual reasons? If yes please check the contracts that you are/ will be working on.	<input checked="" type="checkbox"/> TFL <input checked="" type="checkbox"/> Crossrail <input type="checkbox"/> None <input type="checkbox"/> Vinci <input checked="" type="checkbox"/> Other Local Authorities <input checked="" type="checkbox"/> IMACE <input checked="" type="checkbox"/> Other Private Contractor	
Audit by	Fleet Source	
Auditor name	Amanda Duffy	
Auditor number	1144	
I declare that I have not been involved in helping this company to prepare for this FORS Bronze audit	Please tick to confirm <input type="checkbox"/>	
I declare that I have completed the following Pre-audit checks in preparation for this FORS Bronze audit: (Please tick to confirm each action)	<input checked="" type="checkbox"/> Office of the Traffic Commissioner (TAN) <input checked="" type="checkbox"/> Traffic Commissioner A&D Register <input checked="" type="checkbox"/> Company Website	<input checked="" type="checkbox"/> FORS Complaints Register <input checked="" type="checkbox"/> Notification from Certification Body of <input checked="" type="checkbox"/> General pre audit checks
Date of audit	06/06/2019	
Audit start time	08:45	
Audit finish time	14:15	

Audit scope

Vehicle Information - this information relates to your operating centre only

Category	Type	Fuel type								Totals
		Diesel	Petrol	Biofuel	Gas ¹	Electric	Fuel Cell ²	Hybrid	Other	
Van	Light vans < 1.8T									
	Medium vans 1.8T to 2.6T									
	Heavy vans 2.6T to 3.5T	3								3
Lorry	Rigid HGV 3.5T to 7.5T									
	Rigid HGV 7.5T to 18T									
	Rigid HGV 18T to 26T									
	Rigid HGV 26T to 32T									
	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									
	Wheeled plant									
Sub-total		3								3

Audit scope

Vehicle Information - this information relates to your operating centre only

Category	Type	Fuel type								Totals
		Diesel	Petrol	Biofuel	Gas ¹	Electric	Fuel Cell ²	Hybrid	Other	
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										
Sub-total										
Total		3								3

¹ Fossil fuel/non fossil fuel based

² Hydrogen

Category	Additional Safety Equipment Fitted Vehicle Type	Safety Equipment (Quantity of vehicles fitted)							
		V/VI Mirrors	Side Protection	Audible Turn Left	Dvr Incab Warning	Camera Front	Camera side/rear	Audible Reversing	Other Equipment
Lorry	Rigid								
	Articulated								
	Drawbar								
	Wheeled plant								
Van	All Weights							3	3
PCV	Bus								
	Coach								
	Minibus								
Miscellaneous	Car								
	Trailer								
	Powered two-wheeler (P2W)								
Other	List...								
Total								3	3

Percentage of lorries with equipment

Audit scope

Vehicle Information - this information relates to your operating centre only

Audit	FORS
Type of audit	Re-approval audit
Audit level	Bronze
Describe the type and scope of fleet operations	Jointing Tech, distribute Electrical components and jointing equipment to businesses and utility companies using 3 Vehicles under 3.5 tonne.
What is the organisation's objective to attain or continue FORS accreditation?	The company require to maintain accreditation for contractual reasons and best practise.

Bronze audit 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. Sole traders will need to demonstrate at least verbally that they have a comprehensive understanding of all requirements for a safe and legal operation. The 'outcome' shall be expressed as either a pass, major action point, minor action point, or an observation.

Audit declaration (to be read out by the auditor before starting the audit against the requirements)

The information supplied during this audit shall be a true reflection of the company's activities, policies and procedures that are in place and evidenced at the time of the audit. Any declaration made during the audit and subsequently found to be untrue may lead to suspension or termination of your FORS accreditation. In accordance with the FORS Terms and Conditions section 8.2.1 the data in this report may be shared on a case by case basis.

I confirm that I have read the audit declaration to the organisation prior to the start of the audit ☒

Code	Requirement	Audit Note	Outcome
M1	FORS documentation To manage, review, revise and retain all policies and procedures, risk assessments and supporting documents relevant to the FORS Standard.	Evidence shown meets all of the mandatory FORS Standard requirements	Minor action point
		Leon Sturt warehouse and logistics manager was present at the audit. The company has reviewed all its policies, procedures, risk assessments and supporting documents in line with the FORS Standard requirements. The company have systems in place to ensure that only the latest and current versions of policies and documents are used and in circulation, this was evidenced during audit. The policies, risk assessments and supporting documents were evidenced at audit in hardcopy and electronic version. Evidence provided by the company during the audit was well presented and easily retrievable. The auditor was impressed with all the work the company had put into creating the FORS folder and should be commended for their effort.	
		The company has rectified all of the minor gradings awarded to sub IDs for the previous year.	
		The company have rectified the minor non-conformances from their previous audit.	
M2	Records To manage and retain all records relevant to the FORS Standard.	The company has 12 months for drivers' hours records.	Pass
		The company use fleet management system Velocity which generates reports for driving hours and WTD evidenced electronically at the time of audit.	
		The company has 24 months for working time records.	
		The company use fleet management system velocity which generates reports for driving hours and WTD evidenced electronically at the time of audit.	
		The company has 14 weeks for vehicle nil defects records or until the next vehicle safety inspection.	
		Retained electronically indefinitely via the Velocity system.	
		The company has 15 months for records relating to vehicle safety inspections, defects and maintenance.	
		Vehicles are serviced as per manufactures guidelines by mileage. Records retained in hard copy format.	

Code	Requirement	Audit Note		Outcome	
M3	Responsible person To appoint a trained, experienced and (where necessary) qualified person responsible to run the fleet operation.	The company has a formally appointed, qualified (where necessary), trained and experienced person or team in place to run the transport operation and to maintain continuous and effective control.		Yes	Pass
		Leon Sturt is the warehouse and logistics manager for the business. Leon has completed car and van fleet management essentials in May 2019 and has been in his role with the company for 11 years. Leon Sturt is NEBOSH certified.			
		CPC Awarding Body	N/A		
		Name of appointed person	N/A		
		Certificate / Candidate Number and date attained	N/A		
		The company did not operate under operator licencing rules as they run a fleet of 3 vans up to 3.5Tonne.			
M4	Staff resources To provide adequate staff resources to run the fleet operation.	The company has the required documented job descriptions and responsibilities for key personnel.		Yes	Minor action point
		The company evidenced hard copy job descriptions at the time of audit which met the sub demonstrations of the FORS Standard. Job descriptions described individual responsibilities, accountabilities of the role, and the knowledge and skills required to conduct the role.			
		The company has in place an organisational chart which shows names and job titles, with clear links between senior management and operations personnel.		Yes	
		The company evidenced extensive organisation charts for the company which clearly showed names, job titles and clear links between personnel. Driver handbook detailed the required champions as Leon Sturt. The organisation chart does not include the FORS Champion.			
		The company has a recruitment and selection procedure for drivers and fleet related staff.		Yes	
		The company advertise online. Not high turnover of staff.			
		Prior to appointment to the role, drivers are checked to validate their employment history, qualifications and licensing, fitness to drive and ability or eligibility to work.		Yes	
Prior to appointment to the role, drivers are checked to validate their employment history, qualifications and licensing, fitness to drive and ability or eligibility to work.					

Code	Requirement	Audit Note				Outcome	
M5	Communication To communicate all fleet management policies and procedures to all staff involved in the fleet operation.	The company communicates its policies and procedures, including updates to all staff directly involved in the transport operation.			Yes	Pass	
		Record Driver handbook seen (include version number, and date of review). Transport related Toolbox talks, noticeboards utilised and risk assessments communicated	The company have driver handbooks in place which are distributed at induction and when reviewed. The company have an IMS called Bamboo which all staff have log in details for. The company have regular Toolbox Talks with signed registers of attendees. Attendance register evidenced in hard copy at the time of audit. The online IMS is a great system which includes all reviewed policies and indicates that they have been communicated.				
M6	Vehicle fleet To document the details of the vehicle fleet and how vehicles are distributed across the organisation.	The company maintains a register of the number, type and distribution of all vehicles / plant in scope of FORS accreditation.			Yes	Pass	
		The company evidenced that they maintain a register of the number, type and distribution of all plant and vehicles in scope of the FORS Standard requirement. The company fleet list which was up to date was uploaded to The FORS website.					
M7	Regulatory licensing To hold all regulatory licences and permits relevant to the fleet operation.	Operator Licence Type		Not Required		Pass	
		Operator Licence Number		N/A	Review Date		N/A
		Vehicles Authorised/Operated		N/A	Trailers		N/A
		Vehicles Held		N/A	Trailers		N/A
		The operator licence is held in the name of the correct legal entity of the organisation.					N/A
		This company do not operate any vehicles subject to operator licence regulations.					
		The responsible person at M3, matches the named Transport Manager on the Operator’s Licence?					N/A
		N/A					
		The company has carried out regular compliance reviews of the fleet operation and has notified the awarding authority of any changes?					N/A
		N/A					
		Section 19 or 22 permits, or private hire licences.		N/A			N/A
		Specific conditions or undertakings attached to the operating centre		N/A			N/A
		Waste Certificate Number and expiry date		N/A			N/A
		Private hire licence		N/A			N/A

Code	Requirement	Audit Note					Outcome		
M8	Health and safety To maintain safe and healthy working conditions.	The company has a Health and Safety policy in place.						Pass	
		Policy in Place		Reviewed (at least annually)		Review Date	Reviewed By		Communicated
		Yes		Yes		04/06/2019	Robert Boland		Yes
		The company evidenced an electronic policy which named the person with continuous and effective responsibility for health and safety and described how health and safety is managed, stating who does what, when and how. The policy outlined the procedure for reporting workplace accidents and near-misses. The policy was clearly displayed in the workplace.							
		The company has named the person with continuous and effective responsibility for health and safety.							Yes
		Leon Sturt and Robert Boland have overall responsibility for health and safety. This was evidenced in hard copy retained within the Driver Handbook.							
		The company has the required risk assessments or method statements in place which have been reviewed and communicated to all transport staff.							Yes
		Slips trips and falls		Yes	D2 – Seatbelts, speed, distraction and adverse weather		Yes		
		Manual handling		Yes	D5 – In-vehicle communications		Yes		
		Lone working		Yes	V5 – Safe loading and load restraint		Yes		
		COSHH		Yes	O1 – Prescribed and designated routes		N/A		
		Access to vehicles and working at height		Yes	O4 - Passenger safety		Yes		
		Working in and around moving vehicles		Yes	O5 - Specialist operations		N/A		
		Reversing manoeuvring and turning		Yes	O6 – Operational security		Yes		
		Coupling, uncoupling and towing trailers		N/A	O7 – Counter terrorism		Yes		
		The company evidenced hard copy and electronic risk assessments at the time of audit created by Leon Sturt and communicated to all staff.							

Code	Requirement	Audit Note					Outcome	
M9	Complaints To review and act upon any complaint made against the fleet operation.	The company has a policy in place to ensure that complaints are investigated and used to improve operational performance through the resolution of any issues identified.					Minor action point	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The company have a complaints procedure in place in relation to complaints. It was not documented that complaints are dealt with within 10 days. At the time of audit the company did not have any complaints registered with FORS.						
		The company has a complaint register, showing full details of the complaint, the investigation and action taken to prevent reoccurrence.						
		Complaint Register in Place		Full Investigation		Trends analysis and action taken		
		Yes		N/A		N/A		
		The company have a continual improvement log which includes any complaints. The company did not have any driver related complaints recorded in the last 12 months at the time of audit.						
		All complaints are recorded and investigated within ten days to identify whether control measures have failed and if operational improvements can be made. Improvement actions are recorded and implemented.						Yes
		At the time of audit the company evidenced through their continual improvement log that they are recording control measures and operational improvements. At the time if audit the company did not have any driver related complaints logged.						
M10	Transport infringements. To record, investigate and take action against all transport related infringements.	The company has a policy and supporting procedure in place to record, investigate and monitor all transport related breaches and offences.					Pass	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The operator evidenced a hard copy policy in place at the time of the audit which includes the action to take in the event of moving traffic offences, FPN's, PCN's and drivers' hours offences. The operator is registered with the congestion charge and dart charge.						
		The company maintains a record of all transport related fines and charges and records how this is documented and investigated.						
		Transport fines and charges record in place			Full / Partial Investigation, Analysis			
		Yes			Yes			
		The company have a continual improvement log which includes any transport infringements. Last recorded pan 12/03/2019.						
		Driver training has taken place to prevent the reoccurrence of fines and charges and reduce trends?						
		N/A						
The company only had one pan in the last 12 months.								

Code	Requirement	Audit Note										Outcome	
M11	Transport updates To keep up to date with developments in the fleet and road transport industry.	The company have a process in place for keeping up to date with developments in the fleet and road transport industry.									Yes	Pass	
		The operator keeps up to date with developments in the fleet and road transport industry through FORS, DVSA, FTA, RHA online and TFL. This was evidenced in hard copy at the time of the audit.											
V1	Serviceability and roadworthiness To maintain vehicles, trailers and specialist equipment in a serviceable and roadworthy condition.	The company has a policy and procedure in place to inspect, service and repair vehicles, trailers and specialist equipment.										Pass	
		Policy in Place		Reviewed		Review Date		Reviewed By		Communicated			
		Yes		Yes		04/06/2019		Robert Boland		Yes			
		The company evidenced an electronic policy in place at the time of audit to inspect, service and repair vehicles. The policy detailed the requirement of daily walk around checks and first use inspections and systems in place for planned and unplanned maintenance.											
		The company carries out First-use inspections (Vehicles being brought into service).									Yes		
		Main dealership would carry out PDI on new vehicles and carry out a handover for the vehicle. Retained electronically in the vehicle file.											
		The company has a maintenance plan, which accounts for all vehicles held.		Yes		Maintenance is planned to a minimum of 6 months in advance.			Yes				
		Wall planner.											
		The maintenance plan has been reviewed and kept up to date.									Yes		
		The company evidenced a hard copy spreadsheet along with their IMS at the time of audit which demonstrated the maintenance plan had been reviewed.											
		Maintenance is being carried out by.		3rd Party		A maintenance agreement is in place.			Yes				
		Maintenance is carried out by Ford and WCT Autos. The company are moving over to Ford for all three vehicles in order to be ULEZ compliant.											
		Maintenance records are kept for 15 months for vehicles currently operated, including those sold on within the last 15 months.									Yes		
		Maintenance records are kept electronically indefinitely for vehicles currently operated, there were no vehicles sold in the last 15 months. Records were easily retrievable at the time of audit.											
		Vehicle documents checked.		Vehicle Registration	Vehicle Type	1st PMI Service Date	2nd PMI Service Date	3rd PMI Service Date	MOT due?	Tacho Insp due?	VED due?		LOLER / PUWER due?
		RE67GZK	LCV	21/11/2018	N/A	N/A	31/10/2020	N/A	01/10/2019	N/A	31/10/2020	Yes	
		GY16HZK	LCV	27/09/2018	22/03/2017	N/A	30/05/2020	N/A	01/06/2020	N/A	30/05/2020	Yes	
		GY16UKZ	LCV	09/04/2019	11/05/2018	N/A	30/05/2020	N/A	01/06/2020	N/A	30/05/2020	Yes	

Code	Requirement	Audit Note					Outcome
V2	Daily walkaround checks To check vehicles, trailers and specialist equipment for defects immediately before they are used.	The company have a daily walkaround check and defect reporting procedure in place for all vehicles, trailers and specialist equipment. All drivers have been made aware of their legal responsibilities regarding vehicle condition and the procedures for reporting defects. (Particular attention shall be paid to the recording of vehicle safety equipment fitment and checks).					Yes
		The company use an app through Velocity for recording daily walk around checks which also includes a declaration that the driver has had sufficient rest, is not under the influence of drugs or alcohol and is fit to work. Walk around checks are retained electronically, any defects found go directly through to Leon Sturt electronically who will decide if the vehicle can be used. The company evidenced a good reporting system.					
	Vehicle defects checked.	Vehicle Registration	Vehicle Type	Date defect reported	Date defect rectified	Remarks	
		GY16HZK	LCV	25/03/2019	26/03/2019	indicator bulb out.	
		GY16UKZ	LCV	11/02/2019	20/02/2019	windscreen crack-not in driver's view.	
GY16HZK		LCV	06/02/2019	06/02/2019	o/s/r puncture.		
V3	Insurance To hold a minimum of third party insurance or self-insurance for the fleet and any other insurance necessary to provide financial protection to the operation.						
V3.i	Third party insurance or self-insurance for the whole fleet.	Company:		Allianz			
		Ref:		14/BV/29083457/02			
		Expiry Date:		10/02/2020			
		Amount covered or limit of indemnity?		Any person driving with the Policyholders permission.			
		Notes:		N/A			
							Pass

Code	Requirement	Audit Note		Outcome
V3.ii	Employers' liability insurance held for the business.	Company:	Preston Insurance Brokers	Pass
		Ref:	PIB/JT3	
		Expiry Date:	05/02/2020	
		Amount covered or limit of indemnity?	£10,000,000	
		Notes:	N/A	
V3.iii	Public liability insurance (where applicable).	Company:	Preston Insurance Brokers	Pass
		Ref:	PIB/JT3	
		Expiry Date:	05/02/2020	
		Amount covered or limit of indemnity?	£5,000,000	
		Notes:	N/A	
V3.iv	Goods in transit insurance (where applicable).	Company:	Preston Insurance Brokers	Pass
		Ref:	PIB/JT3	
		Expiry Date:	05/02/2020	
		Amount covered or limit of indemnity?	£5,000,000	
		Notes:	Products Liability	
V3.v	Any other relevant insurance specific to the actual operation (where applicable).	Company:	Preston Insurance Brokers	Pass
		Ref:	PIB/JT3	
		Expiry Date:	05/02/2020	
		Amount covered or limit of indemnity?	£5,000,000	
		Notes:	Professional Indemnity	

Code	Requirement	Audit Note					Outcome	
V4	Vehicle tax To tax all vehicles operating on public roads.	VED expiry dates listed by VRM and date of taxation	Service planner	6 month	Other Method	Named person responsible for checking	Pass	
		Yes	Yes	Yes	Yes	Leon Sturt		
		The company have a wall planner which forward plans VED expiry dates. The company do not rely on DVLA reminders.						
		All untaxed vehicles have been declared as Statutory Off Road Notification (SORN).						N/A
		At the time of audit the company did not have any vehicles SORN however, are fully aware of the procedure to SORN a vehicle if required.						
V5	Load safety Bronze requirement V5 is divided into five sub-requirements applicable to the different vehicle types.							
V5.1	Load safety for HGV To load vehicles and trailers safely and within the legal limits.	The company has a policy in place to ensure that loads can be carried safely and securely.					Pass	
		Policy in Place	Reviewed	Review Date	Reviewed By	Communicated		
		N/A	N/A	N/A	N/A	N/A		
		Not applicable as the company do not operate HGV vehicles.						
		There a system in place to ensure vehicles are not overloaded, including dimensions and weights?	Drivers' are informed if the vehicle or trailer exceeds 9 feet 10 inches (three metres) in height and vehicles where required are fitted with height indicators.		Safe loading training is delivered?			
		N/A	N/A		N/A			
N/A								

Code	Requirement	Audit Note					Outcome
V5.2	Load safety for PSV To load vehicles and trailers safely and within the legal limits.	The company has a policy in place to ensure that loads can be carried safely and securely.					Pass
		Policy in Place	Reviewed	Review Date	Reviewed By	Communicated	
		N/A	N/A	N/A	N/A	N/A	
		Not applicable as the company do not operate PSV vehicles.					
		There a system in place to ensure vehicles are not overloaded, including dimensions and weights?	Drivers' are informed if the vehicle or trailer exceeds 9 feet 10 inches (three metres) in height and vehicles where required are fitted with height indicators.		Safe loading training is delivered?		
		N/A	N/A		N/A		
N/A							
V5.3	Load safety for vans To load vehicles and trailers safely and within the legal limits.	The company has a policy in place to ensure that loads can be carried safely and securely.					Pass
		Policy in Place	Reviewed	Review Date	Reviewed By	Communicated	
		Yes	Yes	04/06/2019	Robert Boland	Yes	
		The company evidenced an electronic policy in place at the time of audit which was communicated to all employees and evidenced with a signed register. The policy included safe loading and unloading practices and the company had a supporting risk assessment.					
		There a system in place to ensure vehicles are not overloaded, including dimensions and weights?	Drivers' are informed if the vehicle or trailer exceeds 9 feet 10 inches (three metres) in height and vehicles where required are fitted with height indicators.		Safe loading training is delivered?		
		Yes	N/A		Yes		
There are scales on site to weigh items, the fork loader which is used to load vehicles also has scales in order to ensure no vehicle is over loaded. The company utilise FORS eLearning and TBT. The company carry out induction training which includes a DVD and practice training for safe loading. Page 26 of the driver handbook refers to load safety for vans.							
V5.4	Load safety for cars To load vehicles and trailers safely and within the legal limits.	The company has a policy in place to ensure that loads can be carried safely and securely.					Pass
		Policy in Place	Reviewed	Review Date	Reviewed By	Communicated	
		N/A	N/A	N/A	N/A	N/A	
		Not applicable as the company do not operate cars.					
		There a system in place to ensure vehicles are not overloaded, including dimensions and weights?	Drivers' are informed if the vehicle or trailer exceeds 9 feet 10 inches (three metres) in height and vehicles where required are fitted with height indicators.		Safe loading training is delivered?		
		N/A	N/A		N/A		
N/A							

Code	Requirement	Audit Note					Outcome	
V5.5	Load safety for P2W To load vehicles safely and within the legal limits.	The company has a policy in place to ensure that loads can be carried safely and securely.					Pass	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		N/A		N/A	N/A	N/A		N/A
		Not applicable as the company do not operate P2W vehicles.						
		There a system in place to ensure vehicles are not overloaded, including dimensions and weights?		Drivers' are informed if the vehicle or trailer exceeds 9 feet 10 inches (three metres) in height and vehicles where required are fitted with height indicators.		Safe loading training is delivered?		
		N/A		N/A		N/A		
N/A								
V6	Vehicle safety equipment To fit larger vehicles with safety equipment that helps protect vulnerable road users.	The auditee has confirmed that the organisation is compliant with all of the requirements of V6					N/A	
V6.i	Prominent warning signage.	Prominent warning signage is fitted?			Type of evidence provided to show that VRU is fitted?			Pass
		N/A			N/A			
		This is not applicable to this site as the company are currently only operating vehicles that are 3.5 Tonne.						
V6.ii	Side under-run protection.	Side under-run protection is fitted?			Type of evidence provided to show that VRU is fitted?			Pass
		N/A			N/A			
		This is not applicable to this site as the company are currently only operating vehicles that are 3.5 Tonne.						
V6.iii	Class V and VI mirrors.	Class V and VI mirrors are fitted?			Type of evidence provided to show that VRU is fitted?			Pass
		N/A			N/A			
		This is not applicable to this site as the company are currently only operating vehicles that are 3.5 Tonne.						

Code	Requirement	Audit Note					Outcome	
V7	Tyre management To monitor tyre usage and maintain tyres in a serviceable and roadworthy condition.	The company has a policy in place to record and manage tyre wear, condition, pressure and tyre disposal.					Pass	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The operator evidenced a hard copy policy in place at the time of the audit which includes tyre selection considering vehicle type and operating conditions and monitoring of trends in wear, damage and age.						
		Tyre maintenance is being carried out by.		3rd Party	A maintenance agreement is in place.			Yes
		Maintenance is carried out by Merityre Specialists Limited.						
		The company has a system to analyse tyre wear, pressure and usage.						Yes
		Every three months Merityre Specialists Limited carry out a visual inspection.						
		The company ensure that tyres are disposed of correctly.						Yes
		WCL CBDL28708 lower tier.						

Code	Requirement	Audit Note		Outcome
D1	Licences To verify that all drivers hold a valid licence for the category and type of vehicle they are tasked to drive and manage any risks associated with endorsements or restrictions.	Licenses are checked every 6 months	Yes	Pass
		Licence checks are carried out six monthly online with the company's FORS accreditation and again annually which fall on a different date as required by the company's insurance company. The company's IMS shows due dates for licence checks and these are carried out by Leon Sturt.		
		Risk based check in place	Yes	
		The company operate a policy for drivers with six points to have a licence check carried out each month. 9 points or more employees can not drive commercially for the business. The system in place is stipulated by the insurance company and is on a higher frequency than what is required by The FORS Standard.		
		The company has a procedure in place for checking digital tachograph Driver cards and Driver Qualification Cards (DQC) for Driver CPC.	N/A	
		The company do not operate vehicles over 3.5Tonne.		
		The company maintains a log of all licences	Yes	
		Retained within the personnel files.		
		Is there a competent person conducting the licence checks, or authorised 3rd party?	Yes	
		Leon Sturt carries out licence checks using the DVLA website.		
		The company has a procedure in place for drivers to report licence endorsements driving infringements and restrictions to the responsible person, whether on or off duty.	Yes	
		Stated within the driver handbook page 9.		

Code	Requirement	Audit Note					Outcome			
D2	Driving standards To require all drivers to have knowledge of and comply with the rules of the road.	The company has a policy in place which covers all of the requirements of D2 Driving standards.						Pass		
		Policy in Place		Reviewed		Review Date	Reviewed By		Communicated	
		Yes		Yes		04/06/2019	Robert Boland		Yes	
		The company evidenced an electronic policy at the time of audit which met the sub demonstrations of the FORS Standard including driver responsibilities and professionalism, adherence to the highway code, distractions, VRU, fuel efficiency and emissions, different road types, adverse weather, and the actions in the event of a breakdown or RTC.								
		The drivers have signed a declaration stating that they have access to, and read and understood the company policy on driving standards.					Yes			
		Page 20 of the driver handbook. Driver performance reports are generated from the Velocity system.								
		The drivers have signed a declaration stating that they have access to, and read and understood the current version of the highway code, official road user guide or code of practice for non-UK based operations.					Yes			
D3	Staff induction To inform drivers, and other staff involved in the fleet operation, of the fleet operation policies, procedures and FORS accreditation, from the start of their employment.	Induction training is delivered		Yes		Induction training recorded		Yes	Pass	
		Induction training shall include, but is not limited to:								
		H&S and wellbeing policies and procedures		Yes		VRU, air quality and emissions		Yes		
		Fleet management policies and procedures		Yes		Familiarisation training on vehicles, routes & sites		Yes		
		Induction training into any major contracts		Yes		Awareness of FORS & company accreditation level		Yes		
		Appraisal, development and performance management procedures						Yes		
		CPD identified and further training needs, including Approved Driver Training and Approved Manager Training						Yes		
The company have recently invested in a new online IMS which includes appraisals, training and all company policies and procedures.										
D4	Professional development To professionally develop drivers and all other staff involved in the fleet operation, through progressive FORS Professional Development.	The company have Professional Development Plans (PDP) that identify and document the training needs for drivers and all other staff involved in the fleet operation.					Yes	Pass		
		Leon has completed car and van fleet management essentials in May 2019 and has been in his role with the company for 11 years. Leon Sturt is NEBOSH certified.								
		Number of drivers?		3	Safety eLearning completed?		3		Percentage	100%
		Drivers have completed the required eLearning modules as per the FORS Standard for WRRR.								
		Number of drivers?		3	Counter Terrorism eLearning?		3		Percentage	100%
		Drivers have completed the required eLearning modules as per the FORS Standard for Security and Counter Terrorism.								
		Number of managers?		1	Manager Training (5 years)?		1		Percentage	100%
Leon Sturt has completed Car and Van Fleet Management Essentials in May 2019 and has been in his role with the company for 11 years. Leon Sturt is also NEBOSH certified.										

Code	Requirement	Audit Note					Outcome
D5	In-vehicle communication To not cause or permit a driver to use a hand-held mobile phone or any other hand-held communication device while driving.	The company has a policy in place, regarding in-vehicle communication.					Pass
		Policy in Place	Reviewed	Review Date	Reviewed By	Communicated	
		Yes	Yes	04/06/2019	Robert Boland	Yes	
		The company evidenced an electronic policy which met the sub demonstrations of the FORS Standard including; unlawful use of hand-held mobile phones and hand-held communication devices, the responsibilities of office staff making and receiving calls to and from drivers, the actions for office staff to end a call if they suspect the driver is driving, the fact there is no expectation for drivers to answer any call until it is safe to do, navigation devices, monitor systems and PDA's.					
D6	Health and eyesight To ensure drivers maintain a level of skill and ability to exercise proper control of the vehicle and interact safely with other road users.	The company has a policy in place on fitness to drive and the eyesight standards for driving.					Minor action point
		Policy in Place	Reviewed	Review Date	Reviewed By	Communicated	
		Yes	Yes	04/06/2019	Robert Boland	Yes	
		Hard copy policy evidenced at the time of audit included; medical standards for driving, illness, prescribed and over-the counter medication, impairment through drugs and alcohol, fatigue-related illnesses, minimum vision standards for driving, driver declaration and eyesight checks.					
		Eyesight checks are being carried out prior to employment, then every 6 months and after involvement in a road traffic collision, incident or near miss.				Yes	
		Health effects of driving such as posture and in-cab air quality and mental health is not mentioned.					
		The fleet operator is ensuring that the drivers meet driver licence/medical requirements and are not impaired through drink, drugs or fatigue, and all drivers have signed a driver health and fitness declaration.				Yes	
		Daily walk around check includes a declaration of not under the influence of drugs and alcohol, well rested and fit to drive.					
		A procedure is in place which requires drivers to notify the fleet operator of any fitness issues that may affect their entitlement and ability to drive, including physical and mental impairment and the use of prescribed medicine.				Yes	
Retained in the driver handbook is the requirement to notify the company of prescribed medication that may affect the ability to drive. Health effects of driving such as posture and in-cab air quality and mental health are not mentioned within the policy.							

Code	Requirement	Audit Note					Outcome	
D7	Drivers' hours and working time To manage drivers' working time and driving hours.	The company has a policy and supporting procedures in place on working time, drivers' hours and their alignment.					Pass	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The company evidenced an electronic policy at the time of audit which met the sub demonstrations of the FORS Standard which included; planning daily and weekly work schedules and rest breaks to minimise fatigue, compliance with the Road Transport (Working Time) Regulations 2005, including the average 48-hour working week limit, how total working and driving time is monitored and enforced and the requirement to report any fatigue or sleep related issues.						
		The company has provided evidence of recording and examining driver hours and WTD, such as tachograph analysis reports and driver infringement reports, which includes missing mileage.						Yes
		The company do not operate any vehicles over 3.5tonne. The company evidenced recording and examining WTD hours electronically via Velocity.						
		Driver's records are maintained for 12 months and WTD 24 months.						Yes
		Drivers hours and WTD are maintained and monitored via Velocity, records held centrally indefinitely.						
		The company has a procedure in place to monitor and manage driver and company tachograph cards and expiry dates, including lost or defective cards.						N/A
		The company do not operate any vehicles over 3.5Tonne.						
The company provide or issue spare tachograph charts, tally rolls or logbooks to drivers.					N/A			
The company do not operate any vehicles over 3.5Tonne.								
O1	Routing To adhere to compliant, safe and efficient routes.	The company has a procedure in place to plan and adhere to compliant, safe and efficient routes.					Pass	
		Procedure in Place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The company evidenced a hard copy routing policy at the time of audit which included permit-controlled routes, such as the London Lorry Control Scheme, community considerations such as schools, hospitals and cycle routes and vehicle dimension and weight restrictions, particularly at bridges and structures.						

Code	Requirement	Audit Note					Outcome	
O2	Fuel, emissions and air quality To monitor fuel consumption and vehicle emissions.	The company has a policy and supporting procedures in place to monitor fuel consumption and environmental impact.					Pass	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The company evidenced an electronic policy at the time of audit which included the company's commitment to ensuring environmental regulations are complied with. Engine-idling is minimised to reduce fuel waste and unnecessary emissions. Fuel data is collected and monitored, and fuel spillages are minimised and managed.						
		The company has nominated a fuel and emissions champion.						Yes
		Leon Sturt is the nominated fuel and emissions champion and this is stated with in the company handbook.						
		The company monitor fuel used across the fleet and record by vehicle and fuel type.						Yes
The drivers have fuel cards and reports are generated per vehicle through Velocity.								
O3	Road traffic collisions To document and investigate road traffic collisions, incidents and near misses.	The company have a policy and supporting procedures in place to record and investigate road traffic collisions, incidents and near misses.					Pass	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The company evidenced an electronic policy in place. Road risk is managed, incidents are managed safely, legally and reported to the relevant authorities and line manager promptly. Incident facts are collated accurately, recorded correctly and reported to the insurer. Vehicles involved are repaired to a safe and legal state prior to being returned to the road, drivers involved are assessed for wellbeing and competency to ensure they are able and fit to return to driving duties.						
		The company has nominated a road risk champion.						Yes
		Leon Sturt is the nominated road risk champion and this is stated in the driver handbook.						
		All road traffic collisions are monitored and recorded and all drivers involved in road traffic collisions, assessed for well-being and competency to ensure they are able and fit to return to driving duties.						Yes
The company maintain a register in relation in incidents. There has only been one incident this year which was in relation to a damaged wing mirror. If required driving training will take place.								
O4	Passenger safety To carry passengers in such a manner that no danger is likely to be caused.	The company have passenger safety documentation in place for each particular vehicle type, such as passenger safety policy, risk assessment or method statement.					Pass	
		Passenger safety documentation in place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The company evidenced an electronic policy in place at the time of audit for each vehicle type. The policy was supported by a risk assessment.						
		Where eligible, passenger facing drivers and staff, such as escorts and conductors, are vetted as a pre-employment check through the Disclosure and Barring Service (DBS).						N/A
N/A								

Code	Requirement	Audit Note					Outcome	
O5	Specialist operations To conduct specialist operations safely and in accordance with the law.	The company have in place a policy and supporting procedures for any specialist operations.					Pass	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		N/A		N/A	N/A	N/A		N/A
		Not applicable as the company do not carry any specialist goods.						
		The company has an appointed person for specialist operations..		Name	DGSA Certificate number if applicable			Run out date
		N/A		N/A	N/A			N/A
		N/A						
		ADR licenses are checked and drivers are issued the correct documentation when transporting dangerous goods.						N/A
		N/A						
		The company has notified the appropriate authorities when carrying abnormal loads (STGO).						N/A
N/A								
O6	Operational security To minimise the risk of theft of vehicles, fuel, equipment and loads.	The company have a policy and supporting procedures in place to help safeguard against security breaches, unauthorised vehicle access and theft of vehicles, loads, fuel and equipment.					Pass	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The company evidenced a hard copy policy at the time of audit which met the sub demonstrations of the FORS Standard. Vehicles, keys and the operating centre are secured and controlled, eligibility to drive vehicles is determined and controlled and visitors are controlled. Staff are informed to reporting theft and suspicious activity. The policy includes safety and security of the vehicle and keys and was on page 8 in the driver handbook.						
		The company has safety and security measures in place for vehicle keys and are effectively managed.						Yes
		Vehicles go home with drivers after work. Spare keys are managed at site in Woking in a locked safe. It is stated within the driver handbook page 8.						
O7	Counter terrorism To recognise the current terrorist threat and raise awareness, security and vigilance across the organisation.	The company have a policy and supporting procedures in place to help safeguard against potential security and terrorist threats.					Pass	
		Policy in Place		Reviewed	Review Date	Reviewed By		Communicated
		Yes		Yes	04/06/2019	Robert Boland		Yes
		The policy outlined the commitment to raising awareness, security and vigilance across the organisation. The policy described the different forms of threat that exist in terms of vehicle security and terrorism, Security measures that are to be complied with and the reporting procedure. Retained in the driver handbook page 8, evidenced in hard copy.						
		The company has nominated a counter terrorism champion.						Yes
Leon Sturt is the nominated counter terrorism champion.								

Overview and recommendations

Reporting overview

Details of previous audit / action points

Evidence relating to previous action point resolution*	M8, D1, D3, D4, D7, D8 and O1.
Details of open action points from previous audits*	N/A

* Mark N/A if there are no previous audits or action points

Present audit findings

	Number of major action points	Number of minor action points
FORS	0	4

Auditor recommendations

Bronze audit

Grant certification subject to any minor action point being satisfactorily addressed			Yes
Not to grant certification (usually where one or more major action points have been issued)			No
Auditor's name(s)	Amanda Duffy	Date	06/06/2019

Audit result

Section	Result
Management	Pass with comments
Vehicles	Pass
Drivers	Pass with comments
Operations	Pass
Overall	Pass

Action plan

Audit details	
Auditor Name	Amanda Duffy
Date of audit	06/06/2019

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